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ABSTRACT

Vanderbilt University's 1975 faculty handbook provides details of the university policy regarding appointment and tenure; faculty responsibility; faculty benefits; and facilities and services available to faculty. (JMF)

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FACULTY MANUAL

VANDERBILT UNIVERSITY ★ 1975

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FACULTY MANUAL

VANDERBILT UNIVERSITY ★ 1975

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OFFICE OF THE SECRETARY

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PART I

APPOINTMENT AND TENURE

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Chapter 1

Principles and Rules of Appointment and Tenure

Section A

DEFINITIONS

1. **"Academic freedom"** in the traditional sense refers to the university's continuing policy of maintaining conditions of free inquiry, thought, and discussion for every member of the faculty in his professional activities of research, teaching, public speaking, and publication. These conditions are regarded as necessary rights accruing to appointment on the faculty. Each faculty member has the correlative obligation to speak and write with accuracy, with due respect for the opinions of others, and with proper care to specify that he speaks on the authority of his own work and reputation, not as special pleader for any social group or as purporting to represent the University. Such rights and obligations presuppose that the faculty member adequately performs his other academic duties, and that he does not accept pecuniary return for activities outside of the University without a proper understanding with University authorities.

Some persons broaden the meaning of academic freedom beyond individual rights and duties to include faculty participation in determination of University policy. At Vanderbilt the faculties of the College, the Graduate School, and the several professional schools (the Executive Faculty in the School of Medicine) determine the requirements and recommend all candidates for degrees. Through their collegial bodies and their elected representatives in the Faculty Senate, the faculties are free at any time to examine, debate, and make recommendations concerning any educational policy, program, or practice of the University.

2. **"Academic tenure"** at Vanderbilt refers to the University's commitment (Code of By-Laws, chapter V, sec. 1[c]) to continue any person appointed as professor or associate professor in that office, unless otherwise specified at the time of appointment, until he is retired for age or permanent disability, or dismissed for cause. The grounds for cause are: (1) professionally-incompetent performance or neglect of duty; (2) gross personal misconduct rendering the person unfit for association with students or colleagues; (3) conduct employing unlawful means to obstruct the orderly functioning of the University or to violate rights of other members of the University community. A faculty member holding academic tenure against whom dismissal for cause proceedings have been initiated has, if he requests it, the right to a prompt hearing and independent judgment on the facts of the case by a representative body composed of other members of the faculty.

3. **"Academic responsibility"** means adherence to the following values and standards of conduct (adapted from the Beach Report on Issues of Conscience and Academic Freedom, 1960):

Vanderbilt University is a community of men and women devoted to the search for truth. A self-governing institution, it professes freedom from both internal and external interference which hinders accomplishment of that purpose. It is an institution which transcends, as much as it challenges and accepts, the customs and values of society. It has its own standards of excellence and responsibility which do not always conform to those of the persons and groups who support it.

The University is also part of the civic community in which it exists. Its members, both faculty and students, are entitled to exercise the rights of citizens and are subject to the responsibilities of citizens. A member of the Vanderbilt community gives thoughtful consideration to the image of the University reflected in his public behavior.

Members of the Vanderbilt community share a due regard and respect for law. In the event that one of its members finds himself in jeopardy before the law, either for the sake of conscience or for the purpose of testing the validity of particular provisions of law through deliberate violation, the University will not seek to protect him from due process of law. Regardless of the action of the courts, however, the University reserves the right to determine whether a faculty member is fit to retain his membership in the academic community, and maintains its own procedures for taking action upon, hearing, and deciding complaints against one of its members.

Section B

WRITTEN TERMS OF APPOINTMENT

The terms and conditions of every appointment to the faculty, including extensions, modifications, and notices incumbent upon either party, shall be stated in writing and a copy furnished to both parties. To the fullest extent practicable, all understandings with respect to terms of employment should be stated in the letter of appointment.

Section C

NON-TENURE APPOINTMENTS

The categories of full-time, non-tenure appointments to the Vanderbilt faculty are Instructor, Assistant Professor, Lecturer, and all professorial ranks bearing the prefixes "visiting" and "research." Research Associates and Professional Librarians are appointment categories which, under existing policy and practice, approximate faculty status with respect to certain privileges such as listing in the *Faculty Register*, eligibility for parking facilities, tickets to athletic events and conditional fringe benefits, but do not include faculty membership (appointment under the standard procedure, academic tenure, or the right to vote at faculty meetings).

The department chairman initiates the appointment, after appropriate consultation with the department members holding tenure rank, other department chairmen in the case of joint or interdepartmental appointments, the college or school dean, and the Graduate dean when the appointee is expected to offer graduate courses. After the appointment has been approved at the college or school level, the file is sent to the Provost (or, in the case of the School of Medicine, to the Vice-Chancellor for Medical Affairs), who notifies the dean of the final action. Responsibility for executing the appointment rests with the dean, who may delegate authority to the department chairman to make formal notices. The procedure for making part-time appointments, such as Adjunct Professor in the School of Law or Clinical Professor in the School of Medicine, is the same as for any non-tenure appointment. (For detailed procedures, see Chapter 3, page 26 and following.)

Section D

RENEWAL AND TERMINATION

Non-tenure appointments are for fixed terms of one year (instructors), three years (assistant professors), or other periods clearly stated in the letter of appointment, and are subject to renewal. For faculty members who are on a one-year appointment, notices of renewal will normally be given by March 1. For faculty members who have appointments exceeding one year, notices of renewal or non-renewal will normally be made by June 1 of the year preceding their final year. In certain circumstances, as when an appointment is dependent on the receipt of outside funds, notification may be delayed until October 15, when a statement of contingencies must be provided, with the expectation of a final decision by December 15.

Unless a faculty member on fixed term appointment receives notice that he will be promoted to a position holding academic tenure prior to his cumulated seventh year of full-time service at the rank of instructor or higher at all institutions of higher learning, he shall not acquire tenure (see section E). He shall be notified of that decision no later than September 1 of the academic year in which he will have completed his seventh year of full-time service. A faculty member who has accumulated up to four years of full-time service at other institutions may negotiate, with the express written agreement of both parties, an extension up to but no more than three years beyond the seven-year period. The foregoing provisions shall not be construed to prevent temporary or part-time employment of professionally-qualified persons on a fixed term basis without tenure.

A faculty member may terminate a fixed appointment effective at the end of an academic year, provided that he gives notice in writing as early as possible, preferably before March 1. Faculty members resigning tenure appointments are expected to give at least one semester's notice. Waivers of notice periods may be negotiated by express consent of both parties.

Section E

TENURE APPOINTMENTS AND PROMOTIONS

Tenure appointments to the Vanderbilt faculty are made on the basis of: (a) creativity and productivity in research, quality of scholarship, national stature in one's professional discipline; (b) contribution to intellectual and academic life at Vanderbilt or elsewhere; (c) competence, imaginativeness, and interest in teaching. The priorities and weights given these criteria, in making appointments and promotions, may vary by (i) rank, (ii) College or School. Each College or School publishes its statement of appointment and promotion policy in a Handbook of Rules and Procedures. Excellence in all respects is not required, but competence in all and distinction or outstanding performance in one is necessary.

Tenure is not acquired automatically upon satisfactory completion of a given number of years of service, but upon a positive recommendation by a majority of a department's members who hold academic tenure, acting through the department head and concurred with by the dean of the College or School. This policy does not imply that the department head or dean may not initiate suggestions as to eligible candidates.

Two members of the same immediate family may hold tenure appointments in the same department. Faculty members should neither start nor take part in institutional decisions affecting a direct benefit (initial appointment, promotion, retention, leave, salary, etc.) to members of their immediate families.

The procedure for making tenure appointments and promotions is similar to that for non-tenure appointments, except that final recommendations are made by the Chancellor to the Board of Trust.

Section F

TERMS OF OFFICE OF DEPARTMENT CHAIRMEN

Nominations of chairmen of departments are made by the dean of the College or professional School, acting on the advice of the members of the department holding academic tenure. Final recommendations are made by the Chancellor to the Board of Trust.

With the exception of the Medical School, where such appointments are made for indefinite terms, department chairmen are appointed for limited, renewable terms of three, four, or five years. This does not imply a standard practice or policy of rotating chairmen. Regardless of the type or terms of appointment, department chairmen are subject to continual evaluation and systematic appraisal by the dean, and upon his initiative by competent, outside professional consultants.

Divisional or interdepartmental chairmen are nominated by the dean (or by the Provost in the case of inter-School committees) for fixed terms on the advice of special faculty committees appointed by him to review such program and candidates.

Section G

PROCEDURE IN DISMISSAL, DISCIPLINARY, OR VIOLATION PROCEEDINGS

No faculty member may be finally dismissed for cause prior to an opportunity for a hearing under due process, and, following that, exhaustion by the faculty member of his right to appeal an adverse decision under procedures established by this section.

A faculty member who: (a) has received notice of dismissal pending his decision to seek a formal hearing, (b) has been censured or disciplined for unprofessional or unethical conduct, or (c) has been treated in a manner he believes to have violated the University's appointment and tenure regulations, may file a complaint with the Faculty Senate Committee on Professional Ethics and Academic Freedom within thirty days after he receives notification of the action constituting grounds for his complaint.

The complaint filed with the Senate Committee shall be in writing, and shall specify the reasons the complainant desires to have the action against him reviewed. The Committee on Professional Ethics and Academic Freedom shall decide whether the matter shall be heard and shall, within fifteen class days from the filing of the complaint, notify the complainant of its decision.

When the Senate Committee on Professional Ethics and Academic Freedom has decided that a grievance should be heard, the Committee may hear the grievance itself or may ask the Chairman of the Faculty Senate to appoint for the purpose an ad hoc committee composed of five full-time faculty members. Two members of the ad hoc committee shall be members of the Senate Committee on Professional Ethics and Academic Freedom, and one shall serve as chairman of the ad hoc committee. Following completion of the hearing, the ad hoc committee (if any) shall make a written report to the Senate Committee on Professional Ethics and Academic Freedom.

The Senate Committee on Professional Ethics and Academic Freedom shall review the report of the ad hoc committee and submit a final report to the Provost, who may either accept the report or reject it. If the report is rejected, the Provost and the Senate Committee on Professional Ethics and Academic Freedom shall communicate in an effort to reach agreement. If agreement cannot be established, both the Senate Committee on Professional Ethics and Academic Freedom and the Provost shall send individual reports to the Chancellor.

The hearing by the Senate Committee or by the ad hoc committee shall be in accordance with due process. The decision shall be in writing, and shall include findings of fact, conclusions, and recommendations. If a decision on the merits has not been made by the Committee within thirty days of the original filing of the complaint, the Chairman of that Committee shall notify the appellant of the reasons for further delay and shall indicate to him a probable time by which the Committee shall reach a decision.

The decision of the Chancellor shall be final. In any case in which the Chancellor overrules the hearing body, he shall submit a full report in writing, speci-

fying his reasons therefor to the next meeting of the Executive Committee of the Board of Trust. A copy of the Chancellor's report shall be transmitted to the Chairman of the Faculty Senate and to the Chairman of the hearing body whose decision is overruled, and to the complainant. (See also Grievance Procedures, page 32.)

Section H

ACADEMIC LEAVE

Leave of absence from university duties may be allowed by the dean of the College or School upon request for special research, study, writing for publication, travel, health, rest or recreation, or special assignment elsewhere in connection with one's work. When granted, leave is normally without prejudice in computing eligibility for salary raises and promotion. The University has no general policy of sabbatical leave, nor does it require a specified period of service in order to establish eligibility for leave. The normal minimum period between leaves of absence is three years. Arrangements for leave and off-campus assignment are negotiable, depending upon departmental staffing requirements and availability of funds from all sources, with the minimal income expectation of half-salary for a full year or full salary for a half-year. Unless explicitly understood and stated to the contrary, an individual who requests and receives a leave of absence incurs an obligation to return to the University for at least an equivalent period immediately following such leave. Leaves of absence are recommended by a department or division chairman, and reviewed by the appropriate dean and the Provost (or the Vice-Chancellor for Medical Affairs). Final recommendations are made by the Chancellor to the Board of Trust.

Chapter 2

Academic Titles at Vanderbilt

Section A

TENURE APPOINTMENTS

The titles **University Professor, Distinguished Professor, Professor,** and **Associate Professor** signify tenured positions at Vanderbilt unless otherwise specified at the time of appointment. Except for University Professor, these faculty titles carry a disciplinary or departmental designator, such as Professor of History or Professor of Nutrition. Such designators indicate the major field of work; they may be the name of the department to which the faculty member is attached or a major disciplinary area associated with the department. At the time of appointment the faculty member and the dean of his school or college recommend an appropriate designator, and the recommendation is reviewed by the Provost (or by the Vice-Chancellor for Medical Affairs in the case of the School of Medicine), the Chancellor, and the Board of Trust. Care is taken to avoid titles which might infringe on another department.

University Professor

Such a title is available for exceptional scholars whose work lies in two or more fields or disciplines and their inter-relationships. Appointments to this rank are approved by the departments and/or schools related to the work of such scholars, but each **University Professor** is appointed primarily to one department or school, under the administration of the department chairman or dean of that department or school.

Distinguished Professor of ----------

Since 1965 the University has appointed several outstanding scholars to the rank of **Distinguished Professor**. The rank reflects both the distinction of the scholar and his contribution in his professional area in the University.

Professor of ----------

Associate Professor of ----------

Professors and **Associate Professors** hold academic tenure, unless otherwise specified at the time of appointment. The professional standards for tenure appointments and conditions of dismissal for cause are defined in Principles and Rules of Appointment and Tenure, pages 13 and 15.

Section B

TERM APPOINTMENTS

Assistant Professor of ———

Instructor in ———

The titles **Assistant Professor** and **Instructor** do not imply tenure but are term appointments. Full-time service in these two ranks is counted in the probationary period leading to mandatory action by the University either promoting the individual to tenure rank or notifying him that he will not be promoted. Service in other term appointments is not counted. Assistant Professors may be appointed for a term of not more than three years at a time. Instructors are appointed from year to year. The procedures for renewal and termination are outlined in Principles and Rules of Appointment and Tenure, page 12.

Lecturer in ———

The title **Lecturer**, part-time or full-time, designates a teaching appointment that is not within the normal promotion sequence from Instructor to Professor. Lecturers are appointed for not more than a year at a time.

Prefixes: Adjunct, Clinical, Visiting, and Research

Adjunct Professor of ———

Adjunct Associate Professor of ———

Adjunct Assistant Professor of ———

Adjunct Instructor in ———

The Board of Trust in 1968 approved the establishment of the title **Adjunct Professor** with a designation of the particular school or department in which this title would be used, such as Adjunct Professor of Law. The title, available to all schools, is limited to part-time faculty who, normally, are practitioners in the professions, in which case the title parallels that of Clinical Professor in the School of Medicine. The title is appropriate also for part-time faculty whose main base is another institution in the Nashville area.

Clinical Professor of ———

Associate Clinical Professor of ———

Assistant Clinical Professor of ———

Clinical Instructor in ———

A faculty appointment is required of all physicians who have hospital privileges in the Vanderbilt University Hospital. The prefix **Clinical** designates a practicing physician, not on the full-time faculty, who has part-time responsibilities in teaching, research, or patient care.

Visiting Professor of ———

Visiting Associate Professor of ———

Visiting Assistant Professor of ———

Visiting Instructor in ———

The prefix **Visiting** designates faculty who normally are based at other institutions of higher education and who temporarily transfer their main base to Vanderbilt. The titles are applicable for full-time or part-time service at Vanderbilt.

Research Professor of ———

Research Associate Professor of ———

Research Assistant Professor of ———

Research Instructor in ———

The prefix **Research** in this context was instituted in 1972 to apply to a person who is appointed to participate in a time-limited research program. Such persons usually do not have teaching assignments.

Reserve Officers Training Corps Titles

The commanding officers of the Army ROTC and Naval ROTC programs hold the titles **Director of the Army Officer Education Program** and **Director of the Naval Officer Education Program.** Other teaching personnel in these programs hold titles **Military Instructor, Naval Instructor,** or **Marine Instructor**. The Directors and all Instructors in the two programs have all the privileges of non-tenured faculty. Appointment and dismissal procedures are set by the Provost and the Officer Education Advisory Committee, generally following normal University procedures.

Section C

APPOINTMENTS IN RESIDENCE

The suffix **in Residence** is preceded by the creative specialty in which the faculty member is engaged: e.g., Artist in Residence, Musician in Residence, Writer in Residence. The purpose of in-residence appointments is to emphasize performance or creative work to the benefit and enhancement of the broad educational goals of the University. Although in-residence appointments are University-wide in interest and purpose, such faculty are based administratively in the College of Arts and Science.

An in-residence appointment may be a tenured or a term appointment. Normally, in-residence appointments are without tenure and do not lead to tenure. Where tenure or tenure-track appointments are intended, the appointment letter will so state. If the appointment is part-time, the letter of appointment will make clear whether the conditions of full-status partial-load appointments apply (see page 29).

In-residence faculty are subject to University regulations and procedures in the *Faculty Manual*, except that criteria for promotion may be adjusted to the creative activity involved and to their assigned duties. In accordance with their specialized knowledge or skills, it is expected that in-residence faculty will give public performances (recitals, lectures, readings, exhibits, etc.). While the primary responsibility of such performing artists will be their public sharing of their craft, means may be devised to allow them to teach in other ways as well.

Arrangements for fringe benefits for persons with in-residence appointments may vary in each case and will be stated in the letter of appointment from the dean.

Section D

NAMED PROFESSORSHIPS

Certain professorships at Vanderbilt are named by the Board of Trust for a benefactor, as Kenan Professor of English, or for someone important in Vanderbilt history, as Landon C. Garland Professor of Physics. The name is usually applied to a full professorship but may appear at another rank. The Harvie Branscomb Distinguished Professorship is an annual award to a regular faculty member for distinguished accomplishment in furthering the aims of the University.

Section E

EMERITUS

A faculty member who has served the University with distinction for at least five years and who remains upon active status until retirement age, may, upon recommendation of the appropriate dean and the Chancellor, be awarded the title **Emeritus**. The title normally follows the regular title, e.g., Professor of Chemistry, Emeritus.

Section F

MULTIPLE TITLES AT VANDERBILT

A Vanderbilt faculty member with more than one appointment in the University is listed in the *Faculty Register* and in the school catalogues with all official titles and always in the same sequence: primary title first, secondary second, etc. Multiple appointments that are truly equal are listed in the sequence that the holder prefers. Ordinarily tenure is held in the department of primary appointment.

Section G

OTHER ACADEMIC TITLES

Librarian

The title **Librarian** is given by the Joint University Libraries to certain professionals on the library staff. The appointment category approximates the status of Vanderbilt faculty with respect to certain privileges.

Research Associate

The title **Research Associate** is given to persons in research, full-time or part-time, who have demonstrated competence in research and who have no teaching responsibilities. The most general usage is for postdoctoral fellows on limited term appointments, but the title is applied also to qualified persons with a continuing interest in particular research areas. The title **Senior Research Associate** may be used in extraordinary cases.

Senior Teaching Fellow
Teaching Fellow
Research Fellow

These titles are given to Vanderbilt graduate students pursuing a course of study toward an academic degree and holding a part-time position in either teaching or research.

The duties of a **Senior Teaching Fellow** typically require 9 to 12 working hours per week and involve a higher level of independence and responsibility than is permitted Teaching Fellows. Senior Teaching Fellows may assume primary instructional responsibility for either classroom or laboratory sections, and are often directly or indirectly involved in the assignment of grades.

The duties of a **Teaching Fellow** typically require about 15 to 20 working hours per week; the responsibilities typically do not include primary responsibility for instruction and grading.

The duties of a **Research Fellow** typically require about 15 to 20 working hours per week assisting a faculty member in research that concomitantly contributes toward satisfying a degree requirement for the student.

Teaching Assistant

This title designates those at the level of the advanced graduate student who are not in fact advanced graduate students at Vanderbilt but are otherwise qualified to teach a particular course.

Graduate Research Assistant
Research Assistant
Laboratory Assistant

The title **Graduate Research Assistant** is applied to Vanderbilt graduate students employed to assist in research not contributing to their own degree requirements. The title **Research Assistant** is applied if the employee is not a Vanderbilt graduate student.

The title **Laboratory Assistant** is applied to non-graduate students who staff laboratory positions.

Visiting Scholar

Those designated **Visiting Scholar** are visitors to Vanderbilt who have faculty status at other institutions of higher education or are otherwise distinguished, and whose presence on the campus is formally recognized for periods of up to a year in order to use the library, to observe the conduct of a particular course, to consult with a professor or group of faculty members on a matter of common interest, or to pursue some other valid academic purpose. A Visiting Scholar normally does not have formal duties to perform at Vanderbilt and is not a member of the faculty.

A person who wants to be named a Visiting Scholar writes in advance to an individual professor or dean of a school at Vanderbilt and states the purposes of his proposed visit, the time span of his stay, and his academic qualifications. Such requests proceed through the normal channels which lead to academic appointment, i.e., through departments and deans to the Provost. A formal letter of appointment is forwarded by the appropriate dean.

A Visiting Scholar is entitled to a variety of perquisites, generally associated with matters of convenience associated with his stay on campus. Graduate students from other universities and local college faculty members not on leave are not ordinarily eligible for designation as Visiting Scholars.

Chapter 3

Appointment and Termination Procedures

Section A

AUTHORIZATION OF ACADEMIC POSITIONS

The following policy on the authorization of academic positions was adopted by the Executive Committee of the Board of Trust on February 2, 1971:

> *Authorizations for faculty positions will be terminated: (1) when vacated by retirement, resignation, or other reason; and (2) when not filled within the year in which they are budgeted. Positions may be carried over to a new budget year only on specific authorization. All position authorizations, including renewals, must be determined in light of school-wide and University-wide priorities.*

Before a formal search can begin to find a person to fill a faculty position, authorization in writing must be obtained from the Provost or the Vice-Chancellor for Medical Affairs and the dean of the school. A position is not assumed to be authorized in a given department simply because a faculty member from that department has left.

In filling all faculty positions, as in all other hiring in the University, Vanderbilt is an Equal Opportunity Employer. All employment and hiring practices must be in accordance with the *Higher Education Guidelines* (October 1972) of the Office of Civil Rights, U.S. Department of Health, Education, and Welfare, and in accordance with the Affirmative Action Plan of Vanderbilt University. Faculty members responsible for hiring and recruitment must, as a matter of University policy, familiarize themselves with, and at all times follow, these guidelines and other applicable statutes, executive orders, and regulations. Deans of the schools have detailed information.

Faculty appointments in the University are made to a school and, where the school is divided into departments, to a department in that school. Initiatives for appointments may be taken by the Chancellor, the Executive Vice-Chancellor, the Provost, and other administrators. However, in each case responsibility for initiation of *formal* procedures of appointment, as well as recommendations for promotion, assignments of work load and general personnel matters, rests with the department chairman and the academic dean.

Section B

TERM APPOINTMENTS

In schools organized by departments, all appointments are formally initiated by the department chairman in consultation with the dean and with other members of the department holding tenure rank. In schools organized by divisions or programs of study, appointments are formally initiated by the dean in consultation with tenured and other appropriate faculty. The Dean of the Graduate School is consulted when the prospective faculty member is expected to offer graduate courses. If a visit to the campus is made, the prospect normally sees the dean of the school concerned and, when appropriate, the Dean of the Graduate School. He may also see the Provost or some other University administrative official including the Chancellor in special circumstances.

The recommendation for a new appointment should include:

1. A biographical data sheet, including a list of publications.
2. A summary of recommendations of those involved in the proposed appointment.
3. At least three written recommendations or records of oral recommendations from persons not presently within the University, at least one of which should give information on teaching competence. When the candidate is well known to the staff, as is often true in the Medical School, more reliance may be placed on internal references.
4. A statement indicating the recommended salary and its source.
5. The availability of satisfactory office space and research space and facilities.
6. The term of the appointment, i.e., the date when the appointment is effective and the date when the appointment will terminate; and the kind of appointment, i.e., whether it is an academic-year appointment or a fiscal-year appointment.
7. A statement of efforts made by the department involved, or whoever formally initiates the procedures, to identify qualified minority and women candidates for the position involved.

After a proposed appointment to a non-tenured position is approved by the dean, the complete folder is sent to the Provost or the Vice-Chancellor for Medical Affairs for his consideration.

The Provost or the Vice-Chancellor for Medical Affairs notifies the dean of the final action, and the dean informs the department chairman, where applicable, and executes the appointment, after which time public announcements of term appointments can be made. All appointments are reported to the Chancellor and to the Board of Trust.

When a faculty member is recommended for promotion, tenure, or a more than routine salary increase, the Provost requires that the recommendation include (1) a brief description of his teaching and advisory responsibilities, (2) an evaluation of his attentiveness to teaching duties and his effectiveness as a teacher, and (3) an indication of the basis of the evaluation.

Section C

TENURE APPOINTMENTS

The procedures with respect to the initiation of appointments, visits, and the department chairman's recommendation are the same for tenured faculty as for non-tenured faculty (see Section B above). In addition, for tenured faculty the department chairman normally arranges for a prospective appointee to visit the campus for interviews with members of the department, the deans, and the Provost or the Vice-Chancellor for Medical Affairs. In schools without departments the dean assumes this responsibility. Other University officers may be involved in special appointments. The campus visit may be omitted in certain cases.

After the proposed appointment is approved by the dean, the complete folder is sent to the Provost or the Vice-Chancellor for Medical Affairs for his consideration.

The Provost or Vice-Chancellor for Medical Affairs recommends tenured appointments to the Chancellor, who recommends action to the Board of Trust.

The action of the Board of Trust is transmitted by the Provost or the Vice-Chancellor for Medical Affairs to the dean before information is released to the press. The dean notifies the department chairman and the candidate or the faculty member. No announcement of a proposed tenure appointment is made until the Board has acted.

Section D

FULL STATUS WITH PARTIAL LOAD APPOINTMENTS

Tenure-track appointments may be made for partial-load faculty, with those faculty being eligible for promotion through all ranks. Persons with such appointments are designated as having full status with partial load, and the letter of appointment must so state.

These appointments are ordinarily directed toward faculty who look to the University for their only compensated activity, but whose family commitments or health prevents a full faculty load. They are distinguished from non-tenure-track "part-time" appointments that normally carry the titles of lecturer, research associate, and those professional ranks bearing the prefixes adjunct, visiting, research, and clinical, where the individual ordinarily earns additional compensation apart from his or her University salary. Partial-load faculty appointments may be reviewed from time to time to determine whether the non-University activities of the partial-load faculty member continue to warrant a partial-load appointment.

Expectations for professional qualifications for partial-load faculty are the same as for full-time faculty. Appointments and promotions are made in accordance with Principles and Rules of Appointment and Tenure (Chapter 1), and partial-load faculty are subject to the provisions of the *Faculty Manual.*

Partial-load faculty shall commit an agreed percentage of their time to the University, but not less than 50 percent. The letter of appointment shall specify the percentage. Partial-load faculty appointments do not imply future full-load appointments; changes from partial to full load (or the reverse) must be approved through the normal process for new appointments.

Procedures and criteria for promotion are the same for partial as for full-load faculty, except the allowable period for promotion to tenure may be extended at the request of the partial-load faculty member up to three years beyond the period provided in Principles and Rules of Appointment and Tenure (Chapter 1).

Partial-load faculty have generally the same privileges as full-load faculty with the department or school. They are listed in the *Faculty Register* and catalogues.

Partial-load faculty are eligible for fringe benefits available to full-load faculty, provided that in the case of benefits imposing a financial obligation on the University (such as TIAA-CREF, Blue Cross, leave with pay, etc.) the University's contribution will be reduced to correspond to the percentage of time committed by the partial-load faculty member to the University. In the case of those benefits that cannot be reduced pro rata (such as Blue Cross) the partial-load faculty member will be required to pay the difference between the amount paid by the University for a full-load faculty member and that reduced amount paid by the University for the partial-load faculty member.

Section E

JOINT APPOINTMENTS

When a faculty member receives a joint appointment in two departments in the same school of the University, the letter of appointment designates the primary department for administrative purposes. The chairman of the primary department will receive the cooperation of chairmen of other departments in the assignment of work load and other matters affecting the joint nature of the appointment.

When a faculty member receives a joint appointment in two different schools in the University, the letter of appointment designates the primary department or division for administrative purposes, and the chairman of that department—or the dean, in non-departmental schools—will carry the same responsibility as though all parts of the appointment were in the same school. The cost of employee benefits will generally be prorated between the schools in proportion to each school's share of the faculty member's salary.

When a joint appointment is made between Vanderbilt and another institution, the letter of appointment must specify which institution is to become the primary base of the appointment. This base institution will handle all payroll procedures and employee benefits, billing the joint institution as appropriate with the salary division. Normally, the employee benefits to be received under such a joint appointment will be those of the base institution.

Individuals may hold different academic ranks within the schools at Vanderbilt or at different institutions.

In all cases of joint appointments the letter of appointment must indicate the tenure or non-tenure arrangements.

Section F

PROCEDURES FOR NONRENEWAL OF APPOINTMENTS OF RESEARCH PROFESSORIAL RANKS

Research professorship appointments are made for fixed terms, the length of which may depend on the duration of research grants or contracts held by the University. Terms may be renewed without limitation, but no length of service can be expected to lead to automatic tenure. The ranks of the research professorships are not to be considered shelters where tenure decisions on regular faculty can be avoided. Any department may, however, at any time recommend that a person holding a research professorship be reappointed to a rank on the normal tenure track of instructor, assistant professor, associate professor and professor.

Notice of non-renewal of the appointment will be given to the research professor at least six months before the end of his appointment. If renewal depends upon the obtaining of contract or grant funds still in doubt at this time, the notice may be that the University intends not to renew the appointment unless the funds are obtained.

A research professor wishing to terminate his appointment before the end of the fixed term must give six months' notice. Waiver of notice periods may be negotiated by express consent of both parties.

Section G

GRIEVANCE PROCEDURES

Any member of the faculty of Vanderbilt University may bring a grievance directly to the attention of the Senate Committee on Professional Ethics and Academic Freedom. The Committee functions normally as an appeals committee for grievances previously submitted to school or college grievance committees. In unusual cases, where the nature of the grievance makes this impracticable, the grievance may be submitted directly to the Senate Committee. The request for a hearing should be written and transmitted to the chairman of the Senate Committee on Professional Ethics and Academic Freedom.

Upon receipt of a written communication, the Committee will convene to discuss whether or not the grievance should be heard. The Committee shall have complete authority in this matter. In making that decision, the Committee may require only the letter submitted by the faculty member, or may decide to hold a preliminary hearing to determine whether or not the grievance will be heard.

The Committee will normally be concerned with the following:

1. issues of ethics and academic freedom
2. dismissal for cause
3. appeals of disciplinary action
4. failures to follow stated or reasonable procedures
5. complaints of a civil rights nature

The Committee will not be concerned with nonrenewal of non-tenured appointments unless the nonrenewal involves question of (1) an infringement of academic freedom or (2) failure to follow stated or reasonable procedures.

The faculty member presenting a grievance shall have a written reply by the Committee within fifteen class days from the time the grievance is received, in which the plan of action of the Committee shall be outlined.

When the Committee has decided that a grievance should be heard, the Committee may hear the grievance itself or may ask the Chairman of the Faculty Senate to appoint for the purpose an ad hoc committee composed of five full-time faculty members. Two members of the ad hoc committee shall be members of the Senate Committee on Professional Ethics and Academic Freedom, and one shall serve as chairman of the ad hoc committee. Following completion of the hearing, the ad hoc committee, if any, shall make a written report to the Senate Committee on Professional Ethics and Academic Freedom.

The Senate Committee on Professional Ethics and Academic Freedom shall review the report of the ad hoc committee, if any, and submit a final report to the Provost, who may either accept the report or reject it. If the report is rejected, the Provost and the Senate Committee on Professional Ethics and Academic Freedom should communicate in an effort to reach agreement. If agreement cannot be established, both the Senate Committee on Professional Ethics and Academic Freedom and the Provost should send individual reports to the Chancellor. (See also Principles and Rules of Appointment and Tenure, Section G, page 15.)

Section H

RETIREMENT

1. Age of Retirement

The age of retirement for faculty members of the University shall be at the end of the academic year within which the faculty member reaches the age of 65. For purposes of computing this age, the academic year is taken as commencing July 1 and ending June 30. In certain cases retirement may take effect before the year in which the faculty member reaches age 65.

Not later than the beginning of the spring semester, the dean of each school will inform the Provost or the Vice-Chancellor for Medical Affairs of the members of the faculty of his school who are reaching retirement age during that academic year. In appropriate cases the dean will include his recommendations for extensions beyond normal retirement date and for appointments to emeritus status.

2. Extension Beyond Normal Retirement Date

The Code of By-Laws of Vanderbilt University provides that individual faculty members may, by vote of the Board of Trust, be continued in service past the age of 65. Such extensions are given only in cases where the department or school can demonstrate an exceptional need for the services of the faculty member. Any extension will be for one year at a time and must have the approval of the Board of Trust.

1. All requests for extension in service beyond retirement age are formally initiated by the department chairman in consultation with the dean.

2. The recommendation of the department chairman will include: a current biographical data sheet, a statement of the faculty member's current and proposed responsibilities in the department, and a statement of justification of the extension.

3. After the appointment is approved at the school level, the complete folder is sent to the Provost or the Vice-Chancellor for Medical Affairs for his consideration. The Provost or the Vice-Chancellor for Medical Affairs recommends extensions to the Chancellor, who recommends action to the Board of Trust.

4. The action of the Board of Trust is transmitted by the Provost or the Vice-Chancellor for Medical Affairs to the dean, who notifies the department chairman and the faculty member.

3. Emeritus Status

A faculty member who has served the University with distinction over a period of at least five years, and who remains upon active status until retirement age, may upon recommendation of the appropriate dean and the Chancellor be awarded the title Emeritus by action of the Board of Trust.

1. The dean in consultation with the department chairman will recommend to the Provost or the Vice-Chancellor for Medical Affairs those retiring members of the faculty to be awarded emeritus status.

2. The recommendation will be accompanied by a biographical statement of some 400 to 800 words citing the faculty member's contributions to the University and the academic world in teaching, scholarship, and service.

3. The Provost or the Vice-Chancellor for Medical Affairs recommends the award of emeritus status to the Chancellor, who recommends action to the Board of Trust. All emeritus actions will generally be made at the spring meeting of the Board.

4. The action of the Board of Trust is transmitted by the Provost or the Vice-Chancellor for Medical Affairs to the dean, who notifies the department chairman and the faculty members. No public announcement may be made until after Board of Trust action.

5. Public recognition of emeritus status is made by the Chancellor at the graduation exercises at the end of the academic year, at which time it becomes effective.

On occasion, a school may contract with an emeritus professor to teach a specific course or perform other specific and limited duties. In these cases the dean will follow the procedures for extension of service beyond normal retirement date. The recommendation of the dean will include a statement of recommended compensation and its source.

4. Retirement and Emeritus Status for Administrators

The Board of Trust policies governing faculty retirement and extension beyond normal retirement date apply to all academic administrative officers and staff of the University. Any requests for extension beyond normal retirement date will be initiated at the appropriate administrative level in each case and carried to the Board of Trust through the process outlined above. Procedures for award of emeritus status to administrative officers will parallel those for faculty as closely as possible.

Chapter 4

Financial Procedures

Faculty members are paid on the last working day of each month, and checks are generally delivered through departmental offices. (By filling out the appropriate form in the Accounting Office, the faculty member may have his checks deposited directly in his bank account.) The next two sections give details concerning two aspects of the payment procedures: (1) how a faculty member initially gets on the payroll, and (2) how faculty members are notified of their salaries for each year following the first year.

Section A

PAYROLL ACTIONS

Normally the letter which a prospective faculty member receives offering him an appointment in the University states his salary for the first year and other conditions of employment. The appointment letter should state whether the appointment is an academic-year appointment or a fiscal-year appointment. In either case, the faculty member will usually receive his compensation in twelve monthly payments. For an academic-year appointment the first payment will usually be at the end of September. For a fiscal-year appointment, the first payment will be at the end of July or at the end of the first month of employment.

A faculty member is placed on the payroll by a Payroll Action Form 1-1255. (A new Payroll Action Form is required when there is any change in the status or compensation of the faculty member.) The proper handling of this form is initiated by the department or school in which the faculty member has his primary appointment. When the appointment involves two schools of the University, the dean of each school should sign the form. This may also be the case on certain restricted contracts and grants, where the project director may need to countersign. The dean's office forwards the approved 1-1255 to the Provost's office. In the Medical Center the Payroll Action Form is initiated by the department or division chairman, approved by the associate dean for that department or division, and sent to Personnel Services.

In either case the form must be received by Personnel Services by 8:30 a.m. on the 18th of the month if it is to be processed in time for a paycheck to be issued by the last working day of the month. (When the 18th falls on a weekend or holiday, the form should be received by the preceding workday.)

Also before a paycheck can be issued, the new faculty member must make an appointment with Personnel Services to complete an Employee's Withholding

Exemption Certificate (W-4) and to arrange benefits deductions. Personnel Services provides an orientation to a number of University matters at this time.

When a faculty member fails to receive an expected paycheck, he should notify his department chairman or office. The department will check with the Payroll Department, which can issue an emergency check if a mistake has been made. If the faculty member notifies his department in the morning, an emergency check can usually be issued that same day.

Modest pay advances can be arranged in extreme emergencies. The faculty member explains the need to his chairman; if the request is approved, the chairman transmits the proper form to the Accounting Office or to the Medical Center Financial Management Office. In schools without departments, such requests are submitted to the dean.

A faculty member on an academic-year appointment on a paid leave of absence for one-half of the year under current practice receives his pay in six equal payments from September through February, or March through August, according to the period in which he works. If he is to work the spring semester, he may request seven equal checks, beginning in February. A faculty member on leave for an entire year at full pay or some fraction of his stated salary receives 12 equal payments at the end of each month. Since there are a number of options on employee benefits for persons on paid leave, the faculty member should consult with Personnel Services before he begins his leave. Faculty members granted leaves of absence without pay must notify Personnel Services before beginning the leave whether or not they want to arrange continued benefit coverage.

Temporary and part-time faculty employed for only one semester are usually paid in four equal checks on the semester pay schedule during the periods September through December or January through April. The semester pay schedule is announced in advance in *Vanderbilt Calendar*.

When faculty members leave the employment of the University, the department chairman must initiate the Payroll Action Form for terminating employment.

If a faculty member with an academic-year appointment leaves the employ of the University at the end of the academic year, he may claim all of his remaining salary then or let the normal monthly checks continue through August. If his fringe benefits are not to be continued through the summer, the Payroll Action Form should so specify. Faculty on fiscal-year appointments are paid through June 30 or at the time of termination.

The University reserves the right to withhold payment of all or part of the terminal check until all personal account balances within the University are settled.

Section B

ANNUAL NOTIFICATION OF SALARY

Each year a faculty member is informed of his salary for the forthcoming year in a letter from the Provost or the Vice-Chancellor for Medical Affairs. Changes in compensation generally are effective on September 1 for persons on an academic-year appointment and on July 1 for those on a fiscal-year appointment.

With the notification letter from the Provost's office is enclosed a statement of compensation which gives the faculty member's name and rank, his basis of employment (fiscal or academic year), and components of compensation. First is his "stated salary." Next, if the faculty member is enrolled in TIAA, the statement indicates the amount of "deferred compensation," which is his contribution to TIAA. This contribution is either 5% or 8-1/3% (as the employee elects) of the stated salary. Since this percentage is not currently taxable, the gross monthly income on a salary check represents one-twelfth of the stated salary minus the TIAA deduction. The statement of compensation also shows "additional deferred compensation," which is the 10% of stated salary that the University contributes to TIAA. There is no indication of this contribution on the salary check. Finally, the statement of compensation gives "total compensation," which is the stated salary plus the 10% contributed to TIAA by the University. The University's contribution to Social Security and certain insurance payments are not included. However, the individual's contribution to Social Security and the insurance payments, if any, appear as deductions on the salary check.

All fringe benefits are tied to the stated salary in the statement of compensation.

In the School of Medicine, faculty members in the clinical departments may receive additional compensation through the Professional Practice Plan. Since the details of the plan vary among the departments, the faculty member should consult the chairman for provisions of the plan.

Compensation statements are issued as soon as possible after the University budget is determined. Any discrepancies or disagreements should be referred to the dean of the school in which the appointment is held (the primary appointment, in the case of joint appointments).

Section C

SUMMER EMPLOYMENT

The University appoints some persons to academic-year contracts and others to fiscal-year contracts. An academic-year appointment includes all duties and responsibilities associated with the academic-year calendar (from the beginning of the fall semester through the end of the spring semester), as determined in consultation with the dean and/or department chairman. A fiscal-year appointment includes all duties and responsibilities associated with the University's fiscal year (July 1 through June 30).

When an academic-year appointee performs duties compensated by the University for the period between the end of one academic year and the beginning of the next, the formula for computing salary is one-ninth of the salary of the immediately preceding academic year for each month of service.

There are no fringe benefit coverages, such as TIAA, tied to such salary paid through the University and earned between the close of one academic year and the beginning of the next. However, a faculty member receiving such compensation may contribute to TIAA-CREF by an agreed reduction of his or her salary even though there is no matching contribution through the University. The contribution can be 5%, 8.33%, or 16.67%. The 16.67% is permitted under income tax regulations because there is no matching contribution.

Although the University does not consider it in the best interest of faculty to perform services for twelve months of the year, exceptions to the rule are occasionally made. Requests for exceptions to the rule should be recommended by the dean to the Office of the Provost, and will be considered although not necessarily granted. In general, academic-year appointees are not paid through the University for more than 11 months of work, and fiscal-year appointees are not paid additionally in lieu of a vacation.

For academic-year appointees, a Payroll Action Form 1-1255 is required to authorize compensation for teaching, research, or other duties during the period that is not part of the academic year. Payment dates, which vary depending on the summer calendar, are announced in *Vanderbilt Calendar* late in the spring semester. Normally, faculty earning the full two-ninths receive three equal payments in June, July, and August, and faculty working less time will receive two equal payments in only two of these months. The schedule to be followed should be made clear to the faculty member by the department chairman at the time the Payroll Action Form is filled out.

Chapter 5

Main Points of Staff Employment Procedures

All who may be responsible for hiring procedures must be familiar with federal statutes, executive orders, and regulations against discrimination because of race, color, religion, national origin, sex, and age. The *Higher Education Guidelines* (October 1972) of the Office of Civil Rights, U.S. Department of Health, Education, and Welfare, defines the responsibility of the University. Staff members may be eligible for benefits on termination of employment, under the Federal Unemployment Compensation Act. With respect to hiring, treatment of employees on the job, and termination, Personnel Services will help with specific questions. Although Personnel Services assist in compliance with laws for equal employment, the individual department is responsible for supplying evidence of compliance to the University's Opportunity Development Officer.

Grievance procedures are established by the University for staff members, provisions for which are outlined in the *Staff Handbook*.

The first step in hiring is to fill out a Personnel Request Form. In doing so, the faculty member must be sure that the position is included in the approved budget for the year and that the rate of pay does not exceed the rate for the position classification. Normally the beginning rate is the base rate for the classification. A rate of pay above the base rate may be requested, but full justification must accompany the request. To fill a vacancy, to create a new position, or to revise a job description so that the position classification is changed requires the review of Personnel Services and the approval of the academic dean and the Provost (or the Vice-Chancellor for Medical Affairs). All such actions may be reviewed through fiscal channels for consonance with University policies and procedures. The faculty member may suggest persons to be considered for the opening, but such persons must make formal application with the Vanderbilt Employment Center.

Because a Personnel Request Form must go through several hands, the procedures should be initiated as soon as the department chairman learns of the vacancy. (On research projects the principal investigator initiates the process by sending the completed form to the department chairman.) From the department chairman, the request goes to the dean for approval, and from there to Personnel Services so that the job description, title, and rate of pay can be checked against the file of classified positions. Next, the Fiscal Planning Office (or Medical Center Financial Management Office) checks the request against the appropriate budget. Final approval must come from the Provost's office or from the Vice-Chancellor for Medical Affairs. Only then can the Personnel Request Form be transmitted to the Vanderbilt Employment Center for recruitment. The

Vanderbilt Employment Center posts updated lists of openings at a number of locations on campus.

The University policies and procedures for hiring, promoting, and transferring employees are contained in Budget Policy No. 4, copies of which are available from department chairmen or from the Vice-Chancellor for Operations and Fiscal Planning.

PART II

FACULTY RESPONSIBILITY

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Chapter 1

Conflict of Interests

SUMMARY

This summary and the pages immediately following are from the March, 1968, Report of the Committee on Faculty Responsibility. Committee members were Professors Robert N. Covington, William J. Darby, Peter G. Hoadley, K. Keith Innes, Robert T. Lagemann (chairman), James W. McKie, Charles E. Roos, and Oscar Touster. The Faculty Senate on March 5, 1969, voted that the report be implemented. Hence the report is a part of the Faculty Manual.

The increase in the consulting activities of faculty members of universities has increased the effects of such outside work on the interest of faculty members, universities, governmental agencies, and the public at large. In recognition of this and at the urging of federal agencies with extensive commitments in research, the Council of the American Association of University Professors and the American Council on Education in 1964 issued a joint statement on preventing conflicts of interests in government-sponsored research at universities. Subsequently, in the fall of 1966, the Senate of the University endorsed the AAUP-ACE statement and extended its applicability to non-government-sponsored consulting. The resolution read: ". . . It is the policy at Vanderbilt University to:

1. Inform the faculty of the possible problems in the area of conflict of interests by distributing the AAUP-ACE Joint Statement to all persons involved in sponsored research and consulting activities;

2. Expect each staff member, who makes a commitment of a substantial portion of his time outside the university, to inform his chairman or dean in writing concerning the scope of his professional activities, particularly so that in consultation with his chairman or dean his professional activities may be properly coordinated with his primary responsibilities to the university;

3. Provide a Committee on Faculty Responsibility, appointed by the Chancellor, as the informed source of advice and guidance to staff members for advance consultation on questions they wish to raise concerning the problems that may develop as a result of their outside financial or consulting interests, as they relate to their participation in sponsored research and outside consulting."

The present document is intended to make more explicit the policy stated above. In summarizing the obligations of the faculty, the report recommends that it is the responsibility of each faculty member to do the following:

1. Become aware of the possible conflicts of interests that may exist in an academic community;

2. Inform the dean of his school (through the department chairman where appropriate) in writing about proposed consulting whenever (a) significant amounts of time are to be involved, (b) the facilities of the university are to be used in behalf of outside agencies, or (c) he faces arrangements that might lead to conflict-of-interest situations or bring discredit on the university;

3. Inform the dean of his school annually that he has not (or has) spent more than the applicable number of days consulting.

Section A

PREFACE

1. The Identification of Interests

We discuss first the "interests" of which we speak hereafter, and separate them according as they may be identified with (1) the university as an institution (2) the faculty as responsible scholars and teachers, and (3) the various outside agencies that both support and benefit from the university and its staff.

The university has been called the most important secular institution of our age. It is a reservoir of the traditions and knowledge of the past, a place for teaching and learning, a site of free inquiry and discovery; it is the protector of speculation and the sponsor of innovation. Its interests can be identified with its objectives, molded as they are by its past, its faculty, and the community which defends and supports it. The University achieves these objectives by means of the persons who compose its faculty, its supportive personnel, its students and alumni, its physical facilities, even by its repute and prestige. The achievement of these aims requires financial outlay, and any diversion of the financial resources of the university from the fulfillment of its true purpose is an encroachment upon its interests.

Similarly, the faculty of the university have their interests. They have a concern that the objectives of the university are carried out, although each member may give emphasis to some objectives over others. In addition they possess relevant personal interests: the desire for successful achievement in their scholarly discipline, the wish for the respect of their students and colleagues, the need for material rewards. Moreover they want to behave ethically and seek the guidance of their colleagues in formulating standards of conduct.

The faculty of the university achieve their goals through the abilities of each member and as a result of the demands for their services and by means of the facilities and academic environment offered by the university. They have capacity to serve, specialized skills and knowledge, hypotheses for exploration, and ability to apply their skills and knowledge to solving meaningful problems. The faculty have access to facilities of research (to libraries and laboratories and computer centers, for instance), to other professional persons, to professional organizations, and to government agencies. They enjoy professional repute and public confidence, in part because of their individual accomplishments and in part because of their association with the university. Lastly, they may have interests in business or other enterprises outside the university, through equity, or ownership, or employment.

A third set of interests can be associated with the outside community. There are the interests of the public that supports the university through gifts and grants. These private donors, who include alumni, foundations, and others with a genuine affection and respect for the university, wish to see their gifts used to achieve the purpose of the institution, just as the state legislatures wish their appropriations to be applied efficiently to the particular aims of the public universities. There are the interests of those–governmental agencies and business

and industry, for example—who pay for the accomplishment of research and desire full measure for their investments in faculty salary and the equipment and supplies purchased, and who sometimes supply restricted information or expect to receive private communications. And there are the interests of the parents of students, who expect their children to be taught with care and diligence, to be counseled with patience and understanding, and to be guided by example as well as by precept.

2. The Changing Environment

The fundamental purposes of the university remain today what they have been for many years. However, the environment in which the members of the academic community carry on their work has changed in significant ways. The variety and the multiplicity of the demands on faculty members have increased markedly. Increasingly numbers of students, the encouragement of individual honors work in the undergraduate colleges and the professional schools, the growing complexity of research engendered by the knowledge explosion, the larger role of faculty members in charting the course of the university and, through committee service, executing the plans—all these are symptoms of the change. So also are the increasing opportunities for many members of the university staff to earn substantial sums through work outside the university. Many occupy positions of responsibility in or provide consultation for business, industry, government, and foundations. Moreover, the public agencies at the local, state, and federal levels increasingly seek the unpaid consulting services of faculty members. And consortia of universities act as additonal centrifugal forces to attract faculty members' loyalties and energies from single institutions.

Consulting* arrangements have come to be widely accepted by universities, their faculties, and other staff members as a public service which they have an obligation to provide in appropriate circumstances. Consulting relationships between university faculty members and government, business, and industry serve the interests of both the staff member and the university. There is usually a two-way transfer of techniques and knowledge. Similarly, the research and training undertaken by universities on behalf of governmental agencies are in general beneficial to both parties. Too, the services rendered by individuals and institutions to professional societies advance the causes of teaching and scholarship.

3. The Need for Concern

The rising tempo of faculty consulting activities in recent years has increased the effects of such outside work on the interests of universities, faculty members, and the public at large. The increasingly complex relations among the universities, government, and other outside groups have magnified the effects of problems

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*Consulting, as used herein, means services performed for outside organizations or individuals for which remuneration in addition to one's university salary is received. Included are teaching at another institution; professional services rendered for business, industry, private individuals, government, other academic institutions, foundations, or a colleague holding a sponsored research grant at the same institution.

sometimes generated by these relations. Despite the benefits associated with consulting and sponsored research, the parties concerned have an obligation to see that adequate procedures exist to protect the interests not only of the individuals and groups immediately involved but of those segments of our society that support university and government or have an equity in business and industry.

The concern we feel is not with the value of consulting and sponsored research and development. Rather it is with the increased likelihood of the development of conflicts of interests, including the problems of increased interference with academic duties.

In the next section we will deal with the various kinds of conflict-of-interest situations that can be expected to arise. In the enumeration of these we have availed ourselves of a document issued in 1964 jointly by the Council of the American Association of the University Professors and the American Council on Education entitled "On Preventing Conflicts of Interest in Government-Sponsored Research at Universities."

Section B

CONFLICT SITUATIONS

This section consists of six parts. We begin first by outlining conflicts which may arise between the interests of the university and outside interests, then turn second to conflicts among outside interests, and third to the special problems involved in government grants and consulting. The fourth part of this section deals with the pervasive problem of distribution of effort. The fifth part deals with ethical problems that may not involve direct conflicts of interests, and the sixth provides examples of activities the committee feels do not give rise to conflict of interest problems.

1. Conflict Between the University and One or More Outside Interests

a. Self-dealing

The university is a major purchaser, employer, and provider of services. Members of the university faculty are significantly involved in making decisions about these matters, particularly so within their own spheres of expertise. Inevitably this involvement creates situations in which members are called on to decide matters in which they have extra-university interests. Examples of such situations include:

a) The purchase of major equipment, instruments, or supplies for university research or teaching from a private firm in which the faculty member has a significant interest;

b) Negotiation or influence upon the negotiation of contracts between the university and outside organizations with which a faculty member has consulting or other significant relationships;

c) Hiring of close relatives by faculty members conducting sponsored research;

d) Adoption of one's own textbook or other teaching aids.

Obviously, it is not necessary that either the university or the outside interest suffer in any of these situations. The equipment purchased, the contract negotiated, the employee hired, or the text adopted may be eminently satisfactory. However, such activities appear suspect to many because of the temptations offered by them. The committee feels that the most effective means to prevent such anxiety from being aroused and to avoid mistakes is for the faculty member to discuss the matter fully and freely with his department chairman or dean before proceeding.

b. Appropriation of the assets of the university

The university as an institution possesses both tangible assets, such as its buildings and equipment, and intangible assets, such as its repute and prestige. Faculty members hold custody of the bulk of these assets and must be conscious of the fiduciary duty this entails. The committee feels the following types of conduct are often objectionable in varying degrees:

a) The initiation or orientation of a faculty member's university research to serve the needs of a private firm or public agency without his informing the university;

b) Transmission to a private firm for personal gain of the information, records, results, materials, or products which have been acquired through research at the university when such discoveries are not made generally available;

c) Failure to inform the appropriate official or committee of the university about licensing agreements and inventions in which the university might have equity [See Vanderbilt University Policy on Inventions, Discoveries, and Patents, page 55];

d) The use of university resources in sponsored research or in consulting by a faculty member without his referring to the appropriate administrative official the question whether appropriate costs should be defrayed by the outside agency;

e) The use of students, without recompense from salary or academic credit, for work on behalf of an outside agency;

f) Associating one's name or one's work with the university in such a way as to profit monetarily by trading on the repute of the institution, rather than on one's professional competence;

g) Speaking or acting or writing as a private person in such a way as to create the impression that one speaks for his university.

The seriousness of the conflict in each of these situations is a matter of degree and of balance. To a significant extent, only the judgment of the faculty member involved can protect the best interests of the institution, but the university as an aid to faculty members should provide procedures to assure the proper expenditure of funds and control of university assets.

c. Influence peddling

The committee feels it improper for a faculty member of the university to accept gratuities or favors from outside organizations with which the university does or may conduct business, or to extend gratuities or favors to employees of the outside organizations under circumstances which might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties. The best safeguard in this respect in addition to the personal integrity of the faculty member would be a procedure calling for disclosing outside involvements.

d. Abuse of confidences.

The committee regards as improper the use for personal gain or any unauthorized purpose of privileged information acquired in connection with a faculty member's university activities and his association with other faculty members. Such information, for example, might include medical, personnel, or security records of individuals; knowledge (prior to general announcement) of discoveries or inventions made by other faculty members; knowledge of impending private or public policy changes.

2. Conflicts Between Outside Interests

Faculty members are often called upon to act as consultants in the professions, to advise on the conduct of research, or to give expert testimony before a court of law. Such experts may find themselves in the employ of several clients whose

interests are competitive in nature. All types of conflicts to which attention was called in the foregoing section are potentially present here as well. For example, a faculty member may well be consulted with regard to equipment needed for a laboratory installation to be operated by a private concern, and may thus have to choose among suppliers of equipment in some of whom he has a substantial interest.

The university as an institution can do little to "police" such conflicts, but can serve as a source of counsel and advice in these matters.

3. Special Problems Arising Out of Dealings with Government Agencies

a. Favoring of outside interests when government-sponsored university grants are involved.

The foregoing section dealt with general conflict-of-interest situations that could arise between the university and outside interests. The interests of government-sponsored research within a university were thought of as being included among the interests of the university. However, because government grants and contracts are so widespread in today's university, particular consideration should be given to possible conflict of interests that might involve government-sponsored research. From among the possible conflicts already mentioned, a number can be cited for special attention:

a) The transmission to an outside interest for personal gain of the information, records, results, materials, or products which have been acquired on government-sponsored research when such discoveries are not made generally available. However, such situations are often cared for on the basis of appropriate licensing arrangements, or by means of patent agreements that are made between the government agency, the university, and the university faculty member;

b) The use for personal gain or other unauthorized purpose of privileged information acquired in connection with the faculty member's government-sponsored activities. Such information, for example, might include anticipated material requirements or price actions; possible new sites for government installations; knowledge of impending research or development programs in advance of official announcements;

c) Negotiation or influence upon the negotiation of contracts relating to the faculty member's government-sponsored research between the university and private organizations with which he has consulting or other significant relationships.

b. Consulting for government agencies or their contractors.

Members of university faculties in recent years have become consultants to one or more government agencies in increasing numbers. These positions present special problems with regard to conflicts of interests, even when the faculty member holds no government-sponsored research grant or contract. Some of these are dealt with in a federal statute (Conflict of Interest Statutes 18 U.S.C. 202-209 as amended); however, direct monetary involvement is but one type of problem that can arise. When one is a consultant, care must be taken to avoid giving advice

that may be of questionable objectivity because of its possible bearing on his other interests. Thus he might be asked for advice on research grants submitted by a colleague at his own university, or to evaluate the proposals or the progress of a firm in which he has a significant interest, or in which his close friends or immediate family have interests.

4. Distribution of Effort

Even though the kinds of activities undertaken by a faculty member may be commendable and their natures not in conflict, he may encounter problems in distributing equitably his efforts in behalf of each. A faculty member will often be responsible for teaching, research, committee work, outside consulting, government-sponsored research within the university, and service to his profession and to the community. How he divides his time between those activities for which he is compensated by the university is an internal matter involving himself, his colleagues, and his dean acting on behalf of the university. But as a faculty member becomes more heavily involved in outside activities, such as consulting, he may have less time for his university duties and may possibly neglect students, scholarly work, and other university responsibilities. Or, conversely, a governmental or other outside agency may not receive its expected share of effort. The committee would emphasize that this problem arises in connection with non-remunerative activities as well as with those for which compensation is received.

A system of precise time accounting is incompatible with the nature of the work of a faculty member and with his assumption of responsibilities that have traditionally been left to the individual to discharge equitably. Accordingly, some other mechanisms—not a system of time keeping—must be used to provide information regarding possible improper distribution of effort.

The committee suggests that the maximum expenditure of time on outside consulting should not exceed forty days* during the academic year, including holidays during the academic year (fifty days for those appointed on a twelve-month basis). This suggestion is applicable to the schools of Vanderbilt University whose faculty members are on nine- (or twelve-) month appointments. However, it is not applicable to the School of Medicine, whose faculty hold annual (twelve-month) appointments. Although consulting is undertaken by faculty members in the School of Medicine, specific consultation requires the approval of the Dean and the income derived usually returns to the School.

This standard and its applicability to the various schools of the university should be clearly communicated to all members of the university community and a reporting mechanism devised to maintain it. The committee also recognizes that there are situations in which the standard may require adjustment (as in the case of staff members joining the university who bring with them commitments entered into elsewhere not yet terminated, or consulting relationships undertaken in large part for the benefit of the university community) and feels that

*While precise time sheets are regarded as unwise, it is expected that half-days would be accumulated into full days.

the Provost should have the power to make such adjustments in extraordinary cases on recommendation of the appropriate dean.

5. Other Ethical Problems

While the following situations involve primarily matters of ethical and moral judgment other than conflict of interests, the committee feels the attention of the members of the faculty should be drawn to them since they are closely related and could readily develop into conflict situations:

a. Participation in sponsored research that does not permit publication of the results in open literature;

b. The use of human subjects in research;

c. Participation in research that has as its objective the prosecution of war, including chemical and biological warfare.

6. Situations Usually Considered Not to Involve Conflict of Interests

Certain practices have by long use and common agreement been accepted as not leading to conflict of interests unless they interfere significantly with an individual's other obligations. These include the following:

a. The writing of books, novels, plays, and similar materials (or the production of other creative works) for which the proceeds or rights accrue to the faculty member, when such work is in the faculty member's field of competence and advances education;

b. Service on the "study groups" and "selective panels" of government agencies, foundations, and similar bodies, with per diem, travel costs, and an honorarium often provided;

c. Delivering occasional lectures, or a short series of lectures, at another institution, sometimes for an honorarium and travel expenses, on a non-recurring basis;

d. Occasional, short-period loans of books or special pieces of equipment to outside interests;

e. Intermittent, brief periods of consulting with outside agencies; for example, telephone or office conversations with persons asking advice about their own research;

f. Presenting expert testimony before judicial, legislative, or administrative bodies in cases involving a significant public interest and for which no compensation is received;

g. Public service and services to other divisions of the university for which no monetary compensation is received.

The above-named activities are not considered to be included when reckoning the days spent in consulting.

Section C

THE RESPONSIBILITY OF THE FACULTY MEMBER

Every full-time faculty member owes his primary loyalty and support to the university of which he is a part and from which he in turn receives support. Consequently his interest, his time, and his efforts should be devoted primarily to teaching, counseling with students, pursuing research and other scholarly work in his field, serving on university committees, performing necessary administrative duties, and carrying out such other duties (for example, caring for patients) as are expected in the school or department of which he is a member.

In view of the convergence of his professional interests with those of the university, any outside consulting engaged in by a faculty member should be of such nature as to improve his effectiveness as a teacher or contribute to his scholarly attainments, or should in some other manner serve the interests of the university or of the community. Although it may be worthwhile in itself, the consulting must not distract significantly from his primary responsibilities; it must not require such extensive absence as to cause him to neglect his course obligations or to make him unavailable to students and colleagues. It must be of such nature and conducted in such manner as will not bring discredit to the university.

Similarly, members of the faculty who accept consulting or succeed in obtaining extra-university support for research carried on at the university should properly discharge their obligations to the persons or agencies involved. The consultant should give thoughtful consideration to the possibilities for conflict of interests resulting from the nature of his outside activities or from the division of his time and energy among competing interests.

Because conflicts of interest are more readily avoided than corrected, it is important that members of the faculty who contemplate consulting inform their department chairman (or when appropriate their dean) in writing before undertaking the work. We wish to call attention here to the definition of "consulting" [see footnote on page 45].

Each faculty member should periodically re-examine the nature and the extent of his consulting and conscientiously avoid engaging in activities which constitute conflict of interests. If he wishes, he may seek the advice of his colleagues of the academic community; in any case, he is expected to resolve all doubts in favor of the avoidance of impropriety or the appearance thereof.

Section D

THE RESPONSIBILITY OF THE UNIVERSITY

The university, through its administrative officers and its faculty, bears certain responsibilities for avoidance of conflict of interests. These lie chiefly in the area of communication: storing and providing information relevant to consulting, providing guidelines of conduct, and providing sources of advice and guidance.

The university should provide for the following:

1. Accounting procedures to assure that funds, including those of government agencies, are expended for the purposes for which they have been provided and that all services expected therefrom are supplied;

Implementation: The Office of Sponsored Research and the Accounting Office should be requested to examine and where appropriate to revise the university's existing procedures to aid faculty members to accomplish this objective.

2. The distribution of information to the faculty of the university to provide an understanding of the possible conflicts of interests that may exist in an academic community;

Implementation. The dean of each school should distribute to each faculty member a copy of this report, or of the relevant portions thereof, together with whatever special information is appropriate to his school.

3. Procedures to inform the university of the outside interests and professional work of faculty members;

*Implementation:** Each faculty member should be requested to follow two procedures in connection with the principle of disclosure as a means of avoidance of conflict of interests. First, he should be expected to inform the dean of his school (through the department chairman if the dean so directs) in writing about proposed consulting whenever (a) significant amounts of time are to be involved; (b) the facilities of the university are to be used by outside agencies or in their behalf, or (c) he faces arrangements that might lead to conflict-of-interest situations or bring discredit on the university. Second, he should be requested by the dean of his school to provide an annual report, in writing, stating (a) whether no more than forty days have been spent in consulting during the previous year; and (b) the nature of consulting in which he then anticipates he will be involved during the coming year.

This annual report to the dean might cover the period July 1–June 30 and might be called for during the following summer. In order to simplify the task, a form might well be distributed by the appropriate dean, to be returned to him (through the department chairman if the dean so directs). The information should be transmitted annually even though the consulting done falls within the forty- and fifty-day maximum periods referred to above. Whenever the department chairman or dean feels that a conflict of interests may be involved, he may call on the faculty member for further information.

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*The committee interprets this to satisfy the requirements with regard to faculty reporting set forth in the joint statement of the AAUP and the ACE of December 1964.

The annual report for members of the School of Medicine would omit reference to the forty-day limit applicable to the other schools and would be so worded as to suitably reflect the practices in that school.

4. The formulation of standards to guide the individual faculty members in governing their conduct in relation to outside interests that might raise questions of conflict of interests. The formulation of such standards and the development of procedures should be undertaken by the members of the university community themselves, and they should share in seeking observance of guidelines, for it is they who can best set forth the conditions for forwarding the aims of the university and preserving the traditions of academic freedom;

Implementation: The committee believes that the particularization of standards can best be accomplished by members of the faculties within each school, because the nature of specific problems encountered will vary significantly. For example, this committee feels it is unable to determine for a particular school what outside activities are most desirable or least desirable for members to engage in. Nor are we well suited to establish a mechanism for transmitting information in the various departments whose sizes vary so greatly.

5. Uniformity in the various academic divisions of the university;

Implementation: At least once a year the deans of the various schools of the university should discuss the operation of procedures for the avoiding of conflict of interests. They should exchange information on practices in their respective schools and attempt to agree, insofar as possible, upon similar guidelines for meeting similar questions.

6. A committee whose chief function will be to provide an informed source of advice and guidance to faculty members for advance consultation on questions they wish to raise;

Implementation: Continuation of a Committee on Faculty Responsibility subject to call by its chairman. The committee should in no way be understood to function as a court of appeal, but rather as a consultative body.

Chapter 2

Inventions, Discoveries, Patents

(The statement of policy on these pages was approved May 5, 1966, by the Board of Trust)

Section A

Patentiable discoveries sometimes result from research performed under the auspices of Vanderbilt University or through the use of its facilities. The university recognizes the rights of the inventor, the public, the sponsor if one is involved, and the university itself. A Patent Review Committee is organized as a body through which the university shall perform its responsibilities in connection with patentable ideas conceived at the university.

Section B

All faculty members, officials, employees, and students of the university, in consideration of their association with the university and of their privileges of using funds administered and facilities controlled by it, shall agree to handle all discoveries during such association in accordance with the terms of this policy.

Section C

Vanderbilt University's policy recognizes three bases on which the rights in patentable ideas rest:

1. **Investigations sponsored wholly by the university**, that is, financed with university funds and carried out with its facilities on its time. The inventor is required to acknowledge the university's ownership of patentable ideas and to assign the university or its designee all rights, title, and interests he might otherwise have. The Patent Review Committee shall receive the inventor's full disclosure and recommend to the university whether a patent should be sought. The obtaining of patent coverage and arrangements to have the patented item manufactured and marketed will be at the university's expense. In the event any patent so obtained produces a net return to the university in excess of the cost of obtaining such patent, the university shall pay the inventor 30 percent of the yearly net income accruing to the university.

2. **Investigations financed wholly or partially by industrial, philanthropic, governmental, or other organizations or by an individual not employed by the university.** In this case, the investigation or research shall be carried on under a contract or agreement stating the rights and ownership of patents which may result from the investigation. Before work is started on a program covered by such an agreement or contract, the principal investigator shall be responsible for advising his co-workers of their rights. In all cases not specifically covered by the express terms of the contract or agreement, the appropriate provisions of the policy shall prevail as far as possible.

3. **Investigations performed by an employee of the university wholly or partly on his own time and at his own expense.** The inventor is required to acknowledge the possibility that his rights may be shared by others and to make full disclosure to the Patent Review Committee. The committee shall determine the bases on which rights in the invention or discovery rest following three criteria:

a. When a discovery or invention is made wholly at the expense of the individual, without the use of university facilities and outside the field of the individual's employment, the results are the private property of the investigator, and the university has no vested interest. Should the investigator desire, however, he may voluntarily submit his results to the Patent Review Committee for its consideration. If, on the recommendation of the committee, the university agrees to seek patent coverage, it will do so at its own expense. The inventor will be expected to assign to the university or its designee full ownership of the patentable idea or discovery in exchange for 90 percent of the yearly net income accruing to the university.

b. When a discovery is made partly at the expense of the individual, with the use of university facilities or in the normal field of the individual's employment, the procedure shall be generally the same as in paragraph 1 above except that 50 percent of the yearly net income accruing to the university shall be paid to the discoverer.

c. When a discovery is made by a member of the university community under circumstances not described by preceding paragraphs of this policy, the investigator shall disclose to the Patent Review Committee the particular conditions of his research. The committee and the investigator shall make agreement for the individual situation not inconsistent with the general principles of this policy. In the event that the parties do not reach an agreement the dispute shall be referred to arbitration which follows the rules of the American Arbitration Association.

Section D

The Patent Review Committee shall be appointed by the Chancellor and shall meet as often as matters require review. Each department chairman shall be responsible for disclosing to the committee any discoveries or inventions made by members of his department.

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Section E

Except for writings that pertain directly to inventions and discoveries of a patentable nature and writing done under contract with a third party, all rights to copyrightable material shall be reserved by the author, and arrangement for publication and copyrighting shall be left to the individual writer. The university assigns to the dean of the school in which the writer is employed the responsibility for negotiating equitable terms covering writing done under contract and seeing that the university's responsibilities under the contracts are fully carried out.

Section F

With regard to invention or discovery disclosed to the Patent Review Committee for evaluation, the university may choose to follow one of several alternatives. It may elect to apply, in its own name, for appropriate patent coverage; it may choose to enter into an agreement with an independent patent development agency; or it may choose to disclaim any interest in the invention or discovery whatsoever. In the latter event the investigator who has disclosed his results to the committee may then take such steps as he may wish at his own expense.

Section G

ROLE OF THE UNIVERSITY PATENT REVIEW COMMITTEE

This Committee will treat only discoveries subject to statutory protection (patents, copyrights, and trademarks) in accordance with the provisions of the statement of the policy on inventions, discoveries, and patents.

Decision-making authority:

1. Determining the ownership of inventions and the relative share of the University and the inventors and any third parties.
2. Determining the relative interest of any co-inventors.
3. Determining whether the discovery is one that should be promoted by the University.

Advisory role:

1. Advising on negotiations and agreements with inventors concerning the development of discoveries.
2. Advising on the plans for development and the selection of particular agencies for development such as the Battelle Development Corporation and Research Corporation.
3. Advising on overall patent, copyright, and trademark policy and related matters.

Section H

UNIVERSITY LEGAL OFFICER

1. This office will be the central office in the University administration for maintaining records pertaining to inventions, etc., and for handling matters relating to inventions, patents, trademarks, trade secrets, and copyrights.
2. Discoveries to be reported to the University Patent Review Committee will be processed through the Legal Office, and brought to the Patent Committee by the Legal Officer with the assistance of the inventors, etc.
3. The Legal Office will handle negotiations for the development of inventions, etc., in consultation with the Executive Vice-Chancellor and other administrative officers as appropriate.
4. The Legal Office will handle independently of the University Patent Review Committee discoveries in which the University may have an interest but which are not subject to statutory protection.

Chapter 3

Political Activity

The Chancellor has issued guidance on political activities for members of the Vanderbilt University community. His statement of October 8, 1972, printed in Vanderbilt *Calendar*, included the following:

Vanderbilt is subject to restrictions concerning activities of a political nature. In particular, the Internal Revenue Code imposes on tax exempt organizations such as Vanderbilt limitations relating to attempts to influence legislation and participation or intervention in political campaigns on behalf of candidates for public office.

The American Council on Education has taken the initiative in preparing a statement of guidelines for use by universities in their efforts to comply with the applicable provisions of the Internal Revenue Code. This statement has been reviewed by the Commissioner of Internal Revenue, who found the guidelines "fair and reasonable" from the standpoint of the Internal Revenue Service. In my judgment, the guidelines do not impose undue restrictions on University activities, nor do they require significant departures from our pre-existing University policies. I wish to call your attention to several paragraphs contained in the guidelines and ask your observance, in particular, of these principles:

Educational institutions traditionally have recognized and provided facilities on an impartial basis to various activities on the college campuses, even those activities which have a partisan political bent, such as for example, the Republican, Democratic and other political clubs. This presents no problem. However, to the extent that such organizations extend their activities beyond the campus, and intervene or participate in campaigns on behalf of candidates for public office, or permit nonmembers of the university community to avail themselves of university facilities or services, an institution should in good faith make certain that proper and appropriate charges are made and collected for all facilities and services provided. Extraordinary or prolonged use of facilities, particularly by nonmembers of the university community, even with reimbursement, might raise questions. Such organizations should be prohibited from soliciting in the name of the university funds to be used in such off-campus intervention or participation.

Every member of the academic community has a right to participate or not, as he sees fit, in the election process. On the other hand, no member of that community should speak or act in the name of the institution in a political campaign.

In another paragraph, the comment is made concerning the reduction of the regular responsibilities of faculty and staff:

In that case the question might be raised whether releasing faculty and staff members from normal duties, with pay, to participate in the (election) process represents an indirect participation by the institution itself in a political campaign on behalf of a candidate for public office.

All members of the Vanderbilt University community should observe these principles in planning and engaging in political activities that might either directly or indirectly involve the University. Questions concerning the application of these points should be addressed to the University Legal Officer.

Chapter 4
Honor System

[*Text prepared by the Honor Council.*]

The Vanderbilt Honor System, which is administered by the Honor Council, was begun in 1875, the year classes were begun.

In order for the Honor System to function properly, it is essential that a close rapport be established between the Honor Council and the faculty. The Council seeks not only the active participation of the faculty in the Honor System but the constructive criticism that instructors may offer from their unique perspective.

While it is true that the Honor System is essentially a student affair, the faculty cannot be neutral in regard to seeing that the Honor System is upheld in all academic matters.

The general orientation of Vanderbilt students in the meaning of the Honor System is undertaken by the Honor Council each year. It falls to the faculty, however, to make the system a day-to-day classroom reality to the students.

An instructor may accomplish this task in four basic ways:

1. A short statement at the start of the semester's work in a course, demonstrating the instructor's support of the Honor System, is most beneficial.

2. Before each paper or special assignment, the instructor should make it extremely clear whether or not outside sources may be consulted and to what extent the student may receive help from source materials. In laboratory courses, the instructor should specify exactly to what extent students are allowed to work together. If such matters are clarified ahead of time, cases resulting from misunderstandings about assignments may be eliminated.

3. Although the primary responsibility for Vanderbilt's academic honesty is in the hands of each student, the faculty member should feel it his duty to make every effort to provide a classroom atmosphere that is conducive to the effective operation of the Honor System. For example, during a test, it is quite in the spirit of the system to seat students alternately, or in any manner possible to minimize the chance of a student accidentally seeing another paper. Also, an instructor might arrange his testing methods so that identical examinations are not given to separate classes. This will decrease the opportunities for the passing of information either intentionally or unintentionally.

4. An instructor can help to keep the Honor System uppermost in the students' minds by requiring them to sign the pledge on every assignment.

In spite of these precautions, some violations may occur. If an instructor suspects a violation he has two options available to him:

1. Issue a personal warning to the student that unless the actions that have led to his suspicion cease, he will report the action to the Honor Council.

2. Report the incident to the Honor Council for action to be taken in one of the following ways at the discretion of the acting President: (a) an official warning will be issued by the Council to the suspect; (b) a hearing will be held by the Council.

The flagrancy of the violation determines which course of action shoulc be followed. The option of warning the student personally is only open to the instructor in the event of a minor suspicion or in the event there is no evidence available. If suspicion is strong or if there is evidence available, the instructor is obligated to report the incident. It should be understood, however, that the instructor need not have evidence in hand before contacting the Council—just suspicion well founded. The Council will investigate all cases.

To report a violation, the instructor should contact the President of the Honor Council or the Office for Student Life. An investigating committee from the Council will then call on the instructor, discuss the case with him, and receive whatever evidence is in his possession. The committee will then interview the accused and make arrangements for a hearing.

The Honor Council requests that the instructor not consult the accused before notifying the Council. Vanderbilt students conceived the Honor Council as the judicial branch of the Honor System. It is from this group of elected student representatives that the accused should hear the charges against him. A faculty member should neither punish nor excuse cheating, but should refer the case to the Honor Council immediately upon suspicion of an Honor Code violation.

Additional information concerning procedures may be obtained from Honor Council members or from the Office for Student Life. Also, additional information is available from a booklet, *The Role of the Faculty in the Vanderbilt Honor System*, on file with department chairmen. Faculty members may wish to call students' attention to the chapter on the Honor System in *Policies and Regulations for Undergraduate Students in Non-Curricular Matters*. The chapter includes a definition of and examples of plagiarism.

Chapter 5

Privacy Rights of Students

Faculty should be mindful of the provisions of the Family Educational Rights and Privacy Act of 1974 (also known as the "Buckley Amendment").

The statute and regulations govern students' access to education records and release of information about students. Detailed procedures for compliance will be published by the University as available. In the interim, faculty are referred to the Legal Office for advice in specific instances.

Chapter 6

Commencement

Commencement attendance by faculty is governed by guidelines adopted by the Faculty Senate. The resolution of the Senate reads:

Be it resolved that the Senate endorses in principle the idea that a representative number of the faculty [about one-fourth], including representatives of all departments, attend Commencement exercises annually.

Recognizing that this endorsement of principle may be most conveniently and efficiently acted upon by the deans and the chairmen of academic departments, be it further resolved that the Senate convey their endorsement to such officers for proper implementation. Of primary importance is early invitation to faculty and readily available information concerning rental of caps and gowns.

Thus the individual faculty member should see his minimal responsibility for attending Commencement exercises as at least once every four years.

Deadlines for renting regalia are announced in the *Calendar* by the Secretary of the University.

PART III

FACULTY BENEFITS

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Chapter 1

Insured Benefits

Eligibility for insurance benefits at Vanderbilt is determined by academic title. Full-time faculty in the sequence of promotion from instructor to professor (excluding those with prefixes "clinical," "adjunct," and "visiting") are entitled to full insurance benefits, although in some instances there are waiting periods (see below). For professorial ranks with the prefix "research" the same conditions hold. Full-time lecturers are eligible for all insurance benefits except TIAA-CREF.

The insurance benefits, in alphabetical order, are Annuity (TIAA-CREF), Disability Insurance, Group Life Insurance, Health Insurance, Liability Insurance, Social Security, Travel Accident Insurance, Voluntary Accidental Death and Dismemberment Insurance, and Workmen's Compensation.

The following descriptions are general and do not serve as a contract. For more details faculty members should consult folders and certificates issued by the insurance companies, and should check copies of master policies on file in the Benefits Section of Personnel Services. Costs quoted may change from time to time.

Section A

ANNUITY OR RETIREMENT PLAN

The Faculty Retirement plan is arranged with the Teachers Insurance and Annuity Association of America (TIAA), and the companion company, College Retirement Equities Fund (CREF).

Associate professors, professors, general officers, and deans of schools shall be required to participate immediately upon beginning their service with the University. Assistant professors and other officers of administration shall be required to participate at the end of three years of service, but may participate at their own option upon entering the employment of the University. Instructors may elect to participate in the program after three years of full-time service as instructors at Vanderbilt.

Participation is optional for Research Professors, Research Associate Professors, and Research Assistant Professors. Visiting faculty are eligible to participate only if they are already participants.

If a faculty member has been in TIAA and/or CREF at another institution just before coming to Vanderbilt, he may transfer his policy at once. In such a case, the waiting period for instructors is waived.

The University contributes 10% of salary and the individual contributes 5% or 8 1/3% (as he or she desires) toward the cost of retirement annuity. The contributions are not currently required to be reported as taxable income, but they become taxable at retirement. (The advantage is that most faculty members at retirement will be in a lower income tax bracket, and at age 65 the basic income tax exemption is doubled.) If the faculty member dies, the beneficiary may be taxed on the contributions depending on the settlement option chosen.

Teachers Insurance and Annuity provides fixed-dollar retirement annuities, whereas the College Retirement Equities Fund provides retirement benefits based on common stock investments. This means that the value of the investment in CREF changes from year to year to reflect the market value and income from the Fund's investments. The insured can elect to put 25%, 50%, 75%, or 100% of the contributions into CREF. Annually TIAA-CREF reports to faculty members in the plan on the amount credited during the year, the balance to date, and an estimate of retirement benefits.

The TIAA-CREF plan is transferable, with all accumulated contributions, to hundreds of other educational institutions. Faculty who later join an organization not covered by the plan can make payments on an individual basis.

All full-time members of the staff who are not covered under the retirement plan for faculty are required to participate in the University's staff retirement plan after completing an initial waiting period. Length of the waiting period is determined by the person's age. The plan is fully described in publications available at the Personnel Services Office.

Section B

DISABILITY INSURANCE

Each full-time member of the faculty of Vanderbilt University is automatically covered by disability insurance after one year of employment. The plan covers continuous, total disability, caused by sickness or injury incurred prior to age 64½. The existence of "continuous, total disability" is determined by the insuror.

Benefits begin on the first day of the month following six months of continuous, total disability. Compensation from Vanderbilt University will not, in any event, continue beyond that time. Benefits are paid for so long as the faculty member remains totally disabled, but not beyond the attainment of age 65.

Current coverage consists of two benefits, as follows:

1. A monthly income benefit which pays 60% of the first $1,500 of regular monthly salary plus 40% of additional monthly salary, up to a total benefit payment of $2,000 per month. Social Security and Workmen's Compensation disability benefits, and any other group disability benefits, are deducted from the benefit payment.

2. A monthly waiver benefit which pays the premiums on the TIAA/CREF retirement program is provided at Vanderbilt. If the faculty member is enrolled in the retirement program at Vanderbilt before becoming disabled, this benefit starts at the same time as the income benefit. If not eligible for participation at the time of disablement, this benefit begins on the date that the individual becomes eligible for the retirement plan and enrolls in it. If participation in the retirement plan has been refused, no waiver benefits can be paid.

Vanderbilt's current insuror, Teachers' Insurance and Annuity Association, has in applicable cases encouraged rehabilitation through part-time employment. In such cases, disability benefits are based on the "lost wages" (regular salary minus any compensation for employment), using the same formula as detailed above. In order to report to TIAA, Personnel Services must be apprised of any arrangements and payments made by the University for part-time rehabilitation work.

At the end of the six-months waiting period, when TIAA disability payments begin, the University shall continue fringe benefit eligibility, but the faculty member will be billed for that portion normally paid by the individual by payroll deduction (excepting TIAA-CREF premiums, as explained in 2. above). This allows the continued benefit of Vanderbilt's group discount rates.

All applications for benefits are to be processed through the Personnel Services Office. Applications for Social Security payments under disability provisions should also be coordinated through Personnel Services. This office is responsible for handling all official correspondence by any Vanderbilt party with any insuror.

Section C

GROUP LIFE INSURANCE

Vanderbilt has a term insurance plan that provides a benefit equal to two times the basic annual rate of pay, up to a maximum of $50,000. This is in two parts: (1) benefit equal to one-half of the annual salary paid by Vanderbilt, and (2) additional insurance for one and one-half annual salary, the cost of which is shared by the faculty member and Vanderbilt. The payroll deduction for the second part is .72% (.0072) of the basic monthly salary, applied only to the first $25,000 of annual salary. The premium does not change as age advances unless there should be a general increase for everyone. In both cases benefits increase automatically with salary increments, with payroll deductions constant at .72% of the monthly salary. Premiums are waived in case of total and permanent disability before age 60. Term insurance terminates upon retirement; it has no cash value.

After two years in the contributory part of the group insurance, the individual may convert part of the term to permanent life insurance. Group permanent insurance has cash value. This conversion may be done in units of $1,000 up to the basic annual salary, with a maximum of $15,000. No medical examination is required. Premiums are based on age at the time of conversion. Application should be made between September 15 and October 15 to become effective November 1.

Life insurance after retirement (at age 62 or above) is provided for faculty who were enrolled in the group life program before May 1, 1971. Prior to this date, the University provided paid-up insurance, one schedule having been in effect from September 24, 1967, to May 1, 1971, and another in effect before September 24, 1967. Faculty who qualify for this paid-up insurance can obtain specific provisions from Personnel Services.

In order to take advantage of the waiver of a health statement or physical examination, new faculty must apply for group life within 31 days after the appointment becomes effective.

If the individual should decide to cancel participation in the contributory part or to enroll at a later date, the change should be made preferably in person in the Benefits Section of Personnel Services. For later enrollment, evidence of insurability is required. Changes made before the 15th of the month become effective by the first of the following month.

Faculty members who leave Vanderbilt may convert the term insurance to another type of permanent insurance without questionnaire or medical examination, if application is made with the Life and Casualty Insurance Company within 31 days of leaving the employ of the University. Permanent life insurance may also be continued after leaving Vanderbilt. Since Vanderbilt shares the cost of group life coverage, premiums are higher after such conversion.

Section D

HEALTH INSURANCE

Vanderbilt has a hospital, surgical, and major medical insurance plan with Blue Cross-Blue Shield of Tennessee. Under this plan, Vanderbilt pays the full cost of individual or family coverage. Family coverage includes the faculty member, spouse, and unmarried dependent children to age 25.

New full-time faculty members should complete a health insurance enrollment card within 31 days from the time they begin work. These cards are available from Personnel Services. Coverage is effective on the date the contract with Vanderbilt is effective.

Major provisions of present coverage are described below.

1. Blue Cross (Hospital)

Blue Cross pays up to $40 a day for hospital room and board for up to 120 days and miscellaneous hospital costs, not including such personal items as telephone and television. Any condition which started before joining Blue Cross is not covered the first year of enrollment. Maternity benefits are not provided during the first nine months. However, faculty members transferring a Blue Cross policy without a break upon joining Vanderbilt may count the time in the other plan toward any waiting periods.

2. Blue Shield (Surgical)

Blue Shield pays up to $450 for surgery due to the same or related cause and performed during a single period of disability. The amount of each of these benefits depends on the operation. The Blue Shield contract lists allowances for most operations and for anesthetics. If the person is in the hospital for treatment and no surgery is involved, Blue Shield pays up to $5 a day for 120 days to cover the doctor's visits. The waiting periods are the same as for Blue Cross.

3. Major Medical

Major Medical covers most sicknesses and injuries, and applies to expenses both in and out of the hospital. It is designed to protect the insured beyond the coverage provided by Blue Cross and Blue Shield. (There are, however, certain exclusions which should be noted in the booklet provided by the University. For example, Major Medical is not applicable to maternity cases, except for certain extreme complications of pregnancy.) After an individual has incurred $100 of medical expenses not paid for by Blue Cross or Blue Shield, Major Medical pays 80% of the expenses up to $5,000, and 100% from $5,000 to $50,000 during a benefit period. Because the definition of a benefit period is crucial to realizing maximum benefits, it is important that the insured keep accurate records of dates and medical expenses; if he or she has family coverage, separate records for each eligible dependent must be kept. Conditions for eligibility may be studied in the master contract, available in the office of Personnel Services.

4. Changes in Enrollment

When an individual marries or acquires dependents for the first time, he or she should change to family insurance coverage by notifying the benefits section of Personnel Services. Notification by telephone is sufficient.

If one leaves Vanderbilt's employ, health insurance coverage ceases on the termination date of employment. For continuous coverage without new waiting periods, persons who leave Vanderbilt can transfer to direct Blue Cross-Blue Shield billing, provided the transfer is made within 30 days.

Faculty receiving extensions on full-time beyond the age of 65 remain in the Vanderbilt health insurance plan. Upon retirement at 65, faculty members should be enrolled in Medicare, Parts A and B. The local office of Social Security should be notified several months in advance of age 65. To supplement Medicare, faculty may enroll in the Blue Cross-65 Plan. It is $5.50 a month, if the faculty member transfers directly from the Vanderbilt plan and has Medicare A and B. He or she may also arrange to retain protection for a spouse under 65 and minor dependents.

5. Claims

Bills for hospitalization covered by Blue Cross are handled directly between Blue Cross and the hospital. The doctor should send in a regular form for the cost of operations covered by Blue Shield. The Benefits Section of Personnel Services will assist the faculty member with major medical claims. Arrangements may be made to be reimbursed for paid medical bills, or to have the doctor or hospital paid directly.

Some persons have two health insurance plans. Most plans, like Vanderbilt's, have a coordination of benefits clause. If, for example, the husband has family health insurance with Vanderbilt, and his wife works somewhere else under another family health insurance plan, the following rules apply: If his wife has medical expenses, her plan pays first and covers most of the expenses, and his plan pays toward the rest. Conversely, if he has medical expenses, his plan pays first.

Section E

LIABILITY INSURANCE

In certain instances general liability insurance and professional liability insurance are provided by Vanderbilt for members of the faculty. Individual members of the faculty are referred to their deans and to the University's Insurance Manager for detailed information.

Section F

SOCIAL SECURITY

Deductions for Social Security are required by law, except for exchange visitors from foreign countries and Vanderbilt students. The amount of such deductions is recorded on individual paychecks. Benefits are paid for death, total disability, and retirement, provided the person has been covered by Social Security long enough to be eligible. These benefits are paid no matter what other insurance coverage the individual has. Claims for benefits should be filed with the local Social Security office as soon as possible in the event of a death, total disability, or retirement, because payments do not usually cover more than a month preceding the date of claim.

Section G

TRAVEL ACCIDENT INSURANCE

Faculty members *on business of the University* are covered by travel accident insurance purchased by Vanderbilt. This applies to travel to and from any point outside Davidson County, Tennessee (or the county where one is assigned to work). Commuting to work is not covered.

Nor is flying in private aircraft on Vanderbilt business covered, with one exception. Faculty members are prohibited from operating or using privately owned aircraft for business travel on behalf of Vanderbilt. This prohibition extends to owning, borrowing, or renting the aircraft. One exception is a situation in which the faculty member on a Vanderbilt business trip happens to join a private flight neither controlled nor arranged by him in any way. All air travel on behalf of the University should be by regularly scheduled airlines or major licensed chartered aircraft companies. In case of doubt about a chartered carrier, the faculty member should check with the Director of Purchasing.

Because insurance is restricted to accidents in the course of University business, faculty members should have on file an approved Travel Request Form for such trips.

The policy provides $50,000 for accidental loss of life, up to $50,000 for dismemberment, and $5,000 accident medical expense.

Section H

VOLUNTARY ACCIDENTAL DEATH AND DISMEMBERMENT INSURANCE

Voluntary Accidental Death and Dismemberment insurance is available to all full-time faculty members for a premium of 55 cents a month for each $10,000 of coverage (paid through payroll deduction). The minimum subscription is $10,000; the maximum, $100,000. The policy is in effect 24 hours a day, on a worldwide basis, and with only a few exclusions (such as suicide). It is not cancellable so long as the insured is a Vanderbilt employee and the master policy remains in effect.

Section I

WORKMEN'S COMPENSATION

Faculty, as well as other employees at Vanderbilt, are protected under the workmen's compensation laws of Tennessee. This benefit covers accidental injuries and certain named sicknesses which are caused by, or arise out of, and in the course of employment at Vanderbilt. A copy of the workmen's compensation law is available in the Benefits Section of Personnel Services.

Any sickness or injury which may qualify as employment-related should be reported immediately to the department chairman or office. The office should send written notice to the Benefits Section of Personnel Services within 48 hours of the time of injury or the beginning of the illness.

Chapter 2

Other Benefits

Because it is difficult to draw the line in many cases between "fringe benefits" and "special services," faculty should consult Part IV, Special Facilities and Services, for listings not found here.

Section A

FACULTY HOME PURCHASE PLAN

The Board of Trust has authorized the Treasurer's Office to make loans for the purchase of homes. Those eligible are faculty members with tenure; certain members of the administration who report directly to the Chancellor, the Vice-Chancellors, and the Provost; and senior administrative staff of the Medical Center as designated by the Vice-Chancellor for Medical Affairs. The rate of interest is ordinarily 1% under the average rate charged at the time of the loan for similar loans by four Nashville savings and loan associations. The maximum loan is $45,000 provided this is not in excess of 80% of the appraised value of the house. The University will lend 90% of appraised value for homes up to $15,000, 85% for homes appraised at $15,000 to $20,000, and 80% for those over $20,000. If the faculty member leaves Vanderbilt, the loan must be repaid in full within six months of his departure. Further details are available from the Treasurer.

Section B

MOVING EXPENSES

Each school or college has its own policy for determining eligibility of new faculty for moving expenses. The letter of appointment will state whether the faculty member is or is not eligible and, when eligible, the amount that will be provided.

Section C

TUITION DISCOUNTS

1. Children

The policy on tuition discounts is based upon the premise that Vanderbilt's educational resources and facilities should be available to the dependent children of full-time primary-based faculty, with distinctions on the basis of rank and service; and that such children who are not qualified for admission to Vanderbilt shall be recompensed with comparable support toward the baccalaureate degree at accredited, four-year colleges or universities elsewhere.

Dependent children of full-time primary-based faculty in the ranks of associate professor and professor (including these ranks with the prefix "research" but not others) are eligible for a discount that amounts to 94% of the current charge for basic tuition (which includes laboratory fees). Dependent children of assistant professors (including the prefix "research") are eligible for the same 94% discount after the parent has completed five years of continuous full-time service. Below the rank of assistant professor, discounts at Vanderbilt are 47% of basic tuition (which includes laboratory fees)., after five years of continuous full-time service.

Discounts are confined to undergraduate programs leading to the bachelor's degree and are limited to eight semesters. Continuing discounts are contingent upon the parent's remaining at Vanderbilt and the child's maintaining satisfactory academic progress. Satisfactory progress must be certified by the College or school each semester.

In the case of death or retirement of a faculty member in the rank of assistant professor or above, and with five years of full-time service, tuition discounts continue to be available for his or her children but are limited to a maximum of two children.

If a child is refused admission at Vanderbilt, the University will pay the actual tuition charged at another accredited four-year college or university offering a baccalaureate program, up to the amount of the discount that would have been received at Vanderbilt. At another institution tuition is that charge defined in the catalogue, and would generally exclude deposits, matriculation fees, out-of-state fees, or other special fees. The conditions of continued support are the same.

In order to qualify for tuition discounts, the dependent child must apply to the Admissions Office in the normal sequence and according to published deadlines. If the child is not accepted by Vanderbilt, the faculty member obtains a letter from the Director of Admissions stating this fact; this letter is then presented to the Student Accounts Section of the Accounting Office so that provision can be made for discounts elsewhere. It is policy that other institutions bill Vanderbilt for such discounts so that a remittance can be made directly to them.

Any scholarship or other award which is granted the student and which is applied toward tuition, whether at Vanderbilt or elsewhere, diminishes the

tuition discount provided by Vanderbilt by the amount of that scholarship or award.

The interpretation of policy resides with the Deputy Provost.

2. Spouses

Spouses of full-time faculty members are eligible for a 47% tuition discount on one course per semester when enrolled in any of the schools of the University. The discount applies to no more than three credit hours per semester, except for four-hour courses with a required laboratory. The recipient may be enrolled part-time or full-time, subject to the regulations of the particular school. Spouses may audit one course per semester without charge, with permission of the instructor.

If the spouse is an undergraduate, the Admissions Office, in cooperation with the schools, is responsible for determining eligibility for enrollment in courses at Vanderbilt, based on the person's prior academic record. Part-time enrollment for undergraduate credit is handled by the Division of Unclassified Studies. Enrollment for credit in the Graduate and professional schools is subject to the judgment of the particular school. In order for the Student Accounts Section of the Accounting Office to process the tuition discounts, the spouse must file an official application for a tuition discount on the form available in that office.

3. Faculty

Full-time faculty may themselves audit or enroll in courses under the same conditions provided for spouses. Before doing so, however, they should consult with the department or division chairman (or the dean in non-departmental schools).

Chapter 3

Leaves of Absence

Section A

WITH PAY

1. Academic Leave

Academic leave is subject to the conditions set out in section H of Principles and Rules of Appointment and Tenure (page 17). For information on payment procedures and arrangements for benefits, see Financial Procedures (page 35).

2. Jury Duty

A faculty member is asked to notify his department chairman (or dean, in non-departmental schools) as soon as he or she is called by a court of law for jury duty to determine whether arrangements can be made to handle his academic responsibilities during this absence. (Note: Tennessee law exempts from liability to act as jurors "all acting professors or teachers of any college, school, or institution of learning.")

3. Illness or Other Incapacities of Short Duration

When a faculty member must be absent from his or her duties because of illness or incapacity of short duration, other members of the faculty, with knowledge of the departmental or division chairman and the dean, customarily assume his or her duties on a temporary basis. If the illness becomes extended so that this is no longer feasible, other arrangements are made by the department chairman in consultation with the dean and Provost. Absences due to pregnancy are treated in the same manner as other incapacities of short duration, or if prolonged because of complications in the pregnancy or delivery, as absences for extended illness.

Section B

WITHOUT PAY

1. Personal Reasons

Requests for leave for personal reasons (including pregnancy or child-related matters) are considered on an individual basis, and should be submitted to the department chairman (or dean, where there is no departmental organization) as far in advance of the proposed absence as possible so that neither instruction nor research programs will be interrupted. Specific dates for the leave should

be stated in the request. Such leaves usually do not extend beyond one year. If approved by the dean, the request for leave for personal reasons is handled in the same way as academic leave, going to the Provost for review and then to the Chancellor and the Board of Trust.

Faculty members must notify Personnel Services in advance of the leave whether they want benefits to continue, and, if so, make arrangements for payment.

2. Military Duty

Full-time faculty members may be granted leave without pay for extended, active military duty in the United States Armed Forces. Insurance and other kinds of benefits are not necessary and do not apply during such extended military duty.

If the faculty member applies for reinstatement at Vanderbilt within 90 days of honorable discharge, he may return to the position previously held, unless it has been eliminated or appreciably changed. In the latter case, he will be placed in a position as nearly matching the former one as possible.

Credit is retained for length of University service and benefits accumulated before the leave.

PART IV

SPECIAL FACILITIES AND SERVICES

In alphabetical order beginning on the next page 88

Accounting Office

The Accounting Office is in 102 Kirkland Hall. Although this office is responsible for the accounting policies and major accounting procedures for the entire University, questions about accounting matters within the Medical Center should be directed to the Medical Center Financial Management Office (Northwest court, CCC-4320-A). Non-medical units can get assistance in the Accounting Office.

Except for minor alterations that do not affect the basic system, changes in accounting procedures should be cleared through the Accounting Office.

Addressing and Mailing

The Alumni Office has a mailing room in the basement of Alumni Hall which serves University departments and official University organizations.

The staff will address, stuff, sort by mailing class, seal and stamp, tie in bundles, and mail. The office supervisor will explain charges for any or all of these services, procedures for ordering computer-printed addresses, and machine specifications for sizes of envelopes and enclosures.

The Medical Center Mail Room (T-1222) offers similar services. All addressing there is by Addressograph machine.

Alumni Association

Members of the Alumni Association include all former students of the University. Associate members include all non-alumni members of the University faculty, administrative officers, intern and resident training staff of the Hospital, graduate fellows of the University, members of the University Trustees, parents of current and former Vanderbilt students, and others who in the judgment of the Executive Committee have promoted the University's welfare either by active interest, effort, or gifts.

There are 12 members of the Board of Trust whose nomination is the responsibility of the Alumni Association. Among these is the annual nomination of a senior of one of the undergraduate schools. Members of the graduating class and the next preceding and succeeding classes are polled prior to this nomination.

The annual giving plan of the Alumni Association is called the Living Endowment. Contributing members receive the quarterly *Alumnus* magazine. Other Alumni Association publications include *Vanderbilt Today*, which is published seven times a year and sent to all members of the Alumni Association.

Faculty are eligible to join chartered tours arranged by the Alumni Association and are encouraged to participate in such activities as Reunion and Homecoming.

Animal Care Facilities

The Animal Facilities, which provide humane care for experimental animals, are located in the Medical Center (CC-1300) and in the Animal Research Facility off Highway 70 on Coley-Davis Road, 12 miles from the campus. The University's Animal Care Committee establishes policy and procedures for the use of experimental animals. A brochure on procedures, services, and charges is available in the office of the Director of Animal Care in the Medical Center (U-2224).

Archives and Special Collections

The Vanderbilt University Archives, on the first floor of the H. Fort Flowers Wing of the General Library building, embrace the history of the University to the present. These archives include non-current records of various offices and departments of the University. All records of official activities are University property. Before any such records are moved or discarded, the person in charge should consult the University Archivist.

Special collections of books that are also housed in the H. Fort Flowers Wing include the Rand Collection (85 titles), featuring fine printing and binding; the Sevier Collection (approximately 9,400 volumes) of general rare books, strongest in English and French literature; and the Memorabilia Collection (approximately 1,500 volumes) of rare books in the field of religion; the V Collection (approximately 7,000 volumes) of University-related publications; and the Jesse E. Wills Fugitive/Agrarian Collection of published work by and about the two groups (approximately 330 volumes).

In addition, there are manuscript collections related to the Fugitive and Agrarian movements of the 1920s and 1930s and to other important literary and intellectual developments in the South in the twentieth century. The manuscripts are described and indexed individually in the *National Union Catalog of Manuscript Collections*.

These materials must be used in the reading room of the Special Collections Department.

Another special collection is that of the W.T. Bandy Center for Baudelaire Studies, maintained in Furman Hall by the Department of French and Italian. The Center has extensive holdings of Baudelaire's works, including first editions and translations; thousands of books, magazine articles, and newspaper clippings related to his life and work; many unpublished master's theses and doctoral dissertations on microfilm; and a bibliography on 25,000 file cards. A reference service is available to scholars. The Center publishes the *Bulletin Baudelairien* semi-annually.

Athletics (Participation)

Facilities for recreational athletics are open to faculty and staff of both sexes in the Memorial Gymnasium, the McGugin Athletic Center, and Wesley Hall. University identification must be presented.

The Memorial Gymnasium, 25th Avenue South and Vanderbilt Place, has a weight room, basketball and handball courts, and a swimming pool. During the academic year all facilities except the pool are open from 7 a.m. to 9 p.m., Monday through Friday, and 9 a.m. to 5 p.m. on Saturday. The varsity basketball team has priority to the basketball court during its practice periods. Hours for swimming are: 12 noon to 1 p.m., Monday through Thursday; 6:30 to 8:30 p.m., Tuesday through Thursday; and 12 to 3 p.m., Friday and Saturday. During the summer, hours are 1:15 to 5 p.m., Monday through Friday. Although faculty, staff, and their families may use the pool free during the academic year, a fee is charged to all but students during the summer. The charge for faculty and staff is $15 per family or $10 per individual. Single admissions for guests are $1.50.

The McGugin Athletic Center on Jess Neely Drive offers a gym, an indoor track, handball courts, and a sauna. Handball courts must be reserved and are available from 8:30 a.m. to 6:30 p.m. All other facilities, with one restriction, are open from 8:30 a.m. to 2:30 p.m. The one restriction is that the sauna bath is available only to men during regular recreational hours; women may use the sauna on special request. Hours during the summer are 8:30 a.m. to 4:30 p.m.; closed Saturday and Sunday.

When special events or situations require exceptions to these recreational hours for the Memorial Gymnasium and the McGugin Center, notice will be posted in advance.

Wesley Hall on 21st Avenue contains three gyms and a swimming pool. Unless physical education classes or women's intramurals are scheduled, all facilities except the pool are open from 10 a.m. to 3 p.m., Monday through Friday, and from 4 to 9 p.m., Monday through Thursday. Swimming hours are 6 to 9 p.m., Monday and Wednesday. Wesley Hall gyms and pool are closed in summer.

Regularly scheduled physical education classes in Wesley Hall can be attended by faculty and staff without charge. These include exercise and figure control, tennis, badminton, and archery.

The main tennis courts are located at 25th Avenue South and Jess Neely Drive. Except for four courts reserved for the varsity team, they may be used by faculty and staff. There are also three courts at Wesley Hall. None of the courts has night lights.

Athletics (Tickets)

A limited number of season tickets for football and basketball are available to full-time faculty at approximately half price. Announcements are made in official University publications and local newspapers showing dates for ticket sales. Applications for season tickets are made to the Athletic Office in the McGugin Athletic Center on Jess Neely Drive.

For baseball there is an admission charge, but faculty members are admitted free on presentation of a University identification card. No admission is charged for other varsity sports, such as track, tennis, and golf.

Audio-Visual Media Services

Faculty should inquire about audio-visual services in their college or school.

Media centers are maintained in the College or Arts and Science, the School of Nursing, the School of Engineering, and the Graduate School of Management. Services vary somewhat in these centers. Some equipment and materials may be borrowed by faculty outside the respective schools for use on campus, subject to availability. Information is available from the various directors.

Benton Chapel

Worship services in Benton Chapel are regularly announced in the weekly *Calendar*.

Weddings of persons of all faiths may be held in Benton Chapel. Funerals and memorial services may also be conducted there. The Chapel is under the administrative direction of the University Chaplain–Director of Religious Affairs, but reservations are handled through the Office for Student Life. The Office for Student Life can also provide information on fees and regulations.

Bookstore

The Bookstore, in the south portion of Rand Hall, is open 8:30 to 4:15 Monday through Friday, and 8:30 to 12:30 on Saturdays. During the months of June and July and for part of August the store is not open on Saturdays. The Medical School Branch in A-1220 is open 8:30 to 4:30 Monday through Friday but is not open on Saturdays. It is open all summer at the same hours.

Faculty of the University are allowed a 10% discount on books and educational supplies. There is no discount on records, magazines, tobacco, gift items, and other items in the sundries department of the main Bookstore. Faculty members may open individual charge accounts. Both stores will take special orders by individuals if the books are paid for in cash or charged to the individual's account. Books in stock may be charged to departmental or other budgets; however, orders for books not in stock and to be charged to depart-

mental or other budgets are processed through the Purchasing Department. (Catalogues of books in print are available in the Bookstore.)

All textbooks are ordered through the two stores (see Textbooks and Supplies).

Bulletin Boards

Notices posted on the Vanderbilt campus are limited to those which provide information regarding student activities, give information of an academic nature, or make announcements pertinent to the business of the University. Commercial advertising matter and posters unrelated to the University or its activities are prohibited unless written permission is provided by the Office for Student Life. Private individuals who wish to advertise special services to students (such as typing or sale of books) may post small notices on University bulletin boards. Regulations governing display of posters will be found in the Student Handbook.

Calendar

The *Vanderbilt Calendar*, issued by the Publications Office every Friday during the academic year, is distributed to all boxes and bulletin boards on the campus. For $1 a year it will be sent to subscribers by U.S. mail.

The *Calendar* goes to the printer at 3:30 p.m. Wednesday. Corrections and important additions are possible until 9 a.m. Thursday. Notices of events or other announcements can be telephoned or brought to the Publications Office, preferably before Wednesday. Campus mail should be used only if there is adequate lead time to meet the Wednesday deadline.

Career Planning and Placement Service

The principal function of the Career Planning and Placement Service is to assist students in career plans and job placement, particularly those in the College of Arts and Science, the School of Engineering, and the Graduate School. The Service maintains a liaison function with other schools that handle placement internally. The School of Law and the Graduate School of Management have their own placement officers.

The Service provides: (a) information about placement procedures and career fields; (b) employer brochures and job listings for business, industry, government, community service, education (school and college teaching), and some graduate school programs; (c) campus interviews or other contacts with career representatives and employers, and (d) a file service, including faculty recommendations, to assist in the presentation of credentials to prospective employers. It maintains also some information on summer employment.

The Service does not handle on-campus student employment (on-campus jobs are handled through the Financial Aid Office). However, the Service does keep a list of part-time off-campus jobs in the area.

Cashing Checks

Faculty and staff may cash checks at three locations: the cashier's office on the first floor of Kirkland Hall (9 a.m. to 3 p.m., Monday through Friday); the cashier's office in the University Bookstore (9:30 a.m. to 3:30 p.m., Monday through Friday, and 9:30 to 11:30 a.m. on Saturday); and the cashier's office in the Medical Center, Room T-1210 (8:30 a.m. to 3:45 p.m. Monday through Friday). Limits are $150 in Kirkland Hall, $50 in the Bookstore, and $50 in the Medical Center. Proper identification must be presented (the Medical Center requires a driver's license). No payroll checks will be cashed.

Catering Service

Complete catering services are available for on-campus University-budgeted functions and events sponsored by officially recognized organizations. For information, call the Office of Food Services, extension 2999, and ask for the University Hostess.

Catalogues and Bulletins

The Bulletin of Vanderbilt University is the name of a periodical consisting of five issues with second-class mail privilege: the General Catalogue (dated November), and the catalogues of the College of Arts and Science (dated June), the Graduate School (dated July), the School of Engineering (dated August), and the School of Nursing (dated September). Other school catalogues are also issued during the summer and fall months.

The dean of each school, or someone designated by the dean, works with the Publications Office in compiling and editing each catalogue.

Faculty members obtain school catalogues from their dean's office, and the General Catalogue from the Publications Office.

Chaplains

The Office of University Ministry exists to provide occasions for religious reflections and avenues for service, worship, and action. Its program seeks a religious interpretation of the meaning and value of human life and experience.

The staff of the Office of University Ministry is composed of chaplains representing the University as well as the Episcopal, Jewish, Presbyterian, and Roman Catholic worshipping communities. The University chaplains conduct services on a regular basis. In Benton Chapel each Sunday there are both Protestant and Roman Catholic services. At St. Augustine's Chapel, services are held for those of the Anglican tradition. During vacation periods, there are often Christian ecumenical services. A service for Jewish students is held each Saturday in Clement Chapel in the Divinity School.

In addition to services provided by the chaplains in the Office of University Ministry, there are other ministers available for religious guidance on campus and other religious worship services in churches near the campus. The University chaplains also are available for counseling and pastoral help. Offices are located at 2410 Vanderbilt Place.

Classrooms

Classroom use for each school is under the supervision of the registrars of the College of Arts and Science, Engineering, and Nursing, and the main administrative offices of Law, Divinity, Medicine, and the Graduate School of Management. Any changes in classrooms or scheduling of special class meetings should be arranged through these offices.

For information on reserving rooms for non-curricular activities, see Meeting Rooms.

Computer Center

The Vanderbilt University Computer Center, part of the Stevenson Center, is the circular building east of the School of Engineering. The principal computing resource is a Xerox Sigma-7 computer with over 128,000 32-bit words of core memory. Additional equipment includes two high-speed random access disk units (5 megabytes/RAD) and over 400 million bytes of mass storage. Computer services are provided through both open and closed shop batch processing and through several remote batch terminals. In addition, some sixty time-sharing terminals can be serviced simultaneously.

Information on procedures for use of the Computer Center are contained in various users' manuals which can be obtained at the Center and the University Bookstore.

Counseling

The Interuniversity Psychological and Counseling Center is maintained for Vanderbilt, Peabody, and Scarritt students, faculty, staff and their dependents. The Center offers assistance in career decision, educational and academic problems, emotional distress, marital adjustment, and, in general, in all non-medical personal adjustment. In addition to remedial services, the Center offers experiences to enhance personal growth. Services for students and their dependents are without charge, with the exception of the Reading and Study Skills course. Services to faculty and staff are on a fee schedule which is adjusted to family income and number of dependents. Fees are less than those at comparable community agencies.

The Reading and Study Skills Program, a developmental course for students, faculty, and staff, is designed to increase reading rate and comprehension, and to improve study habits and skills. Several sections are scheduled each semester, generally beginning at the first of the semester and at mid-term. Classes run for six weeks, and meet for three one-hour sessions or two one-and-one-half-hour sessions per week; during the summer, classes run for four weeks each session. The fee for the course is $30.

The Center administers special tests such as the Miller Analogies Test for the Psychological Corporation, and most tests for the Educational Testing Service (for example, the Graduate Record Examination, the College Level Examination Program, National Teacher Examinations, Law School Admission Test).

Staff members of the Center are often available to serve as consultants for campus organizations or groups. Additionally, speakers or discussion leaders may be provided for special programs.

Credit Union

The Vanderbilt Credit Union is at 25th Avenue South and Kirkland Place. Members may arrange savings by payroll deduction and are eligible for loans. Current rates of interest can be obtained at the office. Application blanks for membership and for loans are also available from Personnel Services.

The Credit Union is open from 8 a.m. to 4:30 p.m., Monday, Tuesday, Thursday, and Friday. Wednesday hours are 12 noon to 4:30 p.m.

Dining Facilities

Dining facilities open to faculty and staff on campus include the Rand Hall dining room, the Commodore Room snack bar (also in Rand Hall), the Branscomb Quadrangle dining rooms, the refectory in the Divinity School, the cafeteria in the Hospital, and the Overcup Oak in Sarratt Student Center. (For information on dining facilities for members of the University Club, see University Club.)

Hours of service are advertised on menu boards and posted on doors of the buildings where the dining rooms are located. Although circumstances may require changes, the usual schedules for cafeteria service are given below for each location.

Service in Rand Hall dining room during the academic year is:

Breakfast:	Monday through Saturday	6:30 a.m. - 8:30 a.m.
	Continental breakfast	8:30 a.m. - 10:15 a.m.
	No breakfast service on Sunday	
Lunch:	Seven days a week	10:30 a.m. - 1:30 p.m.
Dinner:	Monday through Friday	4:30 p.m. - 7:30 p.m.
	Saturday	4:30 p.m. - 7 p.m.
	Sunday	4:30 p.m. - 6:30 p.m.

A separate faculty dining room, adjacent to the student dining room and at the west end of the building, is open for lunch from 11:30 a.m. to 1 p.m., Monday through Friday. Coffee service is available there from 9 to 10:30 a.m., Monday through Friday.

The Rand Hall dining room is open only for abbreviated hours during the summer; check posted times.

Private dining rooms in Rand may be rented for special occasions (maximum seating is 100). Cafeteria, buffet, or banquet service is available.

The Commodore Room snack bar is open year round. During the academic year it is open from 8:30 a.m. to 4:30 p.m., Monday through Friday; in summer the snack bar opens and closes one-half hour earlier.

The Branscomb Quadrangle cafeteria has the following schedule during the academic year:

Breakfast:	Monday through Saturday	7 a.m. - 9:15 a.m.
	Sunday	8 a.m. - 9 a.m.
Lunch:	Monday through Saturday	10:30 a.m. - 1:30 p.m.
	Sunday	11 a.m. - 1:30 p.m.
Dinner:	Monday through Friday	4:30 p.m. - 7 p.m.
	Saturday	4:30 p.m. - 6:30 p.m.
	Dinner is not served on Sunday	

Branscomb is closed during the summer.

There are two major dining rooms (capacity to 260 each) and a private dining room (capacity to 50) that can be used for special events. Also, Food Services can cater receptions and other official parties in the various lounges of Branscomb.

The refectory in the Divinity School, open only during the academic year, serves from 9:30 a.m. to 6:30 p.m., Monday through Friday. A private dining room, seating up to 35, may be reserved for special lunches and dinners; the room room can be rented for meetings.

The Hospital cafeteria, A-0215, serves breakfast (6:30 a.m. - 9 a.m.) and lunch (11 a.m. - 1:30 p.m.) Monday through Friday, excluding holidays. Vending machines for food and drinks are available in the cafeteria (6 a.m. to 9 p.m. every day) and on the S-2300 corridor, near the gift shop, at all times.

The Overcup Oak, a "deli-teria" on the sixth level of Sarratt Student Center, is open to students, members of the faculty, and staff. Hours during the academic year are:

Monday through Thursday	11 a.m.–12 midnight
Friday and Saturday	11 a.m.–1 a.m.
Sunday	2 p.m.–12 midnight

Summer hours are usually modified.

Directory

The *Vanderbilt Directory* lists faculty (with titles, offices, post office boxes, and home addresses and phone numbers); students (with classification, campus and home addresses, campus box numbers, and phone numbers); and major campus offices.

The Publications Office is in charge of compiling the directory and must rely on departments and schools for information on the faculty. Faculty members should keep their department or school apprised of any changes in address, phone number, and the like.

The *Directory* is published annually after August registration. One copy is provided for each telephone instrument on the Vanderbilt Centrex System. Extra copies may be bought at the University Bookstore.

Duplicating Service

The central Duplicating Service, in the basement of Alumni Hall, produces printed matter that is University budgeted and printing ordered by officially recognized student organizations.

All printing is by offset press, with a maximum sheet size of 14 by 18 inches. The Service can produce a variety of posters, fliers, brochures, and the like, including photographs and with color but not four-color process. Typesetting by IBM composer is done in the office, and type specimen sheets are available.

In addition, the central Service duplicates, by photocopy machine, dissertations, theses, or any other typescripts for faculty or students.

A second photocopy machine and limited offset service, especially useful for small numbers of copies, is in the Divinity School, and under the same management as the central Duplicating Service. The Medical Center has its own copy center, with photocopying and some offset equipment.

Fine Arts

A fine arts gallery is under the direction of the Department of Fine Arts and Music, which is in the same building, formerly the Old Gym. Art exhibitions are announced in the *Calendar* and the local newspapers.

Gift Shop

A gift shop is in D-2120 of the Medical Center (this is down the hall from the main lobby of the Hospital). Hours are 9 a.m. to 4:30 p.m., Monday through Saturday, 1:30 to 4:30 p.m. on Sunday.

The shop stocks a variety of gifts for all ages, such as baby gift items, toys, jewelry, lingerie, toiletries, artificial flower arrangements, and candy.

Gifts are also sold in the Bookstore in Rand Hall.

Health Services

Services of the Occupational Health Service, Suite 608, Medical Arts Building, are available to faculty as well as staff. The Service is open Monday through Friday from 7:30 to 4:00 p.m.

The Service is staffed with nurses to provide primary care for immediate health problems. The nurse may treat only minor ailments and does not provide care for chronic diseases. Emphasis is placed on minimizing health hazards associated with employment and on detection of diseases in their earliest stages. All services are under medical supervision.

Prescription drugs are available from the Hospital Pharmacy in S-1131.

Holidays for Staff

The holidays that are standard for staff employees of the University are eight, as follows:

New Year's Day (January 1)
Washington's Birthday (third Monday in February)
Independence Day (July 4)
Labor Day (first Monday in September)
Thanksgiving (fourth Thursday in November)
Day before Christmas (December 24)
Christmas (December 25)
Birthday (actual birthday or other convenient time)

When the needs of a particular office or department require a staff employee to be present on a standard holiday, other days are substituted.

Housekeeping-Building Services

For information about cleaning and maintenance services within the Medical Center, call the Housekeeping Department in B-0312.

For information about cleaning services throughout the rest of the University, call the Building Services Department on the second floor of the Power House. Requests for services should be made through departmental offices.

Lights are replaced as needed. Light moving services are done only by departmental work orders. Custodial workers are not allowed to perform personal errands.

Identification

An official identification card can be obtained by faculty from the Secretary of the University in Alumni Hall. The card is necessary for library privileges, purchase of athletic tickets, cashing checks, obtaining discounts, etc.

Information (General)

The weekly *Calendar* and the annual *Vanderbilt Directory*, published each fall, are helpful sources of information for the entire campus. Information about Hospital patients can be had from the information desk at the Garland Avenue entrance.

Libraries

The JUL (Joint University Libraries) is a cooperatively sponsored enterprise of Vanderbilt University, George Peabody College, and Scarritt College. It has its own Board of Trustees, its own endowment, and owns title to the General Library Building and the land it occupies.

The JUL system has thirteen book collections totaling more than 1,240,000 volumes. The General Library Building houses the Central Library with collections in the humanities, arts, and social sciences; the Divinity Library; the Television News Archive; and Special Collections, which include the University Archives. The public card catalog in the General Library Building reflects holdings in the Central Library, the Science Library, the Observatory Library, and the Management Library.

All library materials in the JUL system are represented in the Tennessee Union Catalog, which is also in the General Library Building. The Union Catalog also lists the holdings of fourteen other libraries throughout the state. For Nashville, these are the Nashville Public Library, the Tennessee State Library and Archives, and the libraries of Tennessee State University, Fisk University, Meharry Medical College, the Methodist Publishing House, and the Tennessee Botanical Gardens. For other parts of the state, these are the libraries of the University of Tennessee at Knoxville and at Chattanooga, Memphis State University, the Tennessee Valley Authority, and the public libraries of Chattanooga, Knoxville, and Memphis.

The Sarah Shannon Stevenson Science Library, in the Stevenson Science Center, houses collections in mathematics, general and molecular biology, chemistry, geology, physics, and engineering. The Science Library also has a map collection in its Map Room. The astronomy collection is at the Dyer Observatory.

The professional libraries for the School of Law, the Graduate School of Management, and the Medical Center are housed in their respective buildings.

The Education Library on the Peabody campus has strong collections in education, psychology, library science, art, and books about children. Also at Peabody is the Music Library in the Social-Religious Building.

On the Scarritt College campus, the Virginia M. Laskey Library emphasizes religious education and missions, sociology, African studies, and anthropology.

Borrowing privileges in the Joint University Libraries are extended to faculty and their spouses. A faculty identification card (issued in the office of the Secretary of the University) is required; spouses apply to the Circulation Librarian of the Central Library.

A limited number of faculty studies are located in the Central Library stacks, and new faculty may ask to be put on the waiting list in the Director's office.

See also: Archives and Special Collections, and Television News Archive.

Lost and Found

Except for the Medical Center, the campus lost and found service is performed by the Security and Safety Department, 2423 Kirkland Place. Lost and found articles in the Medical Center are kept in the Medical Center Security Office, B-0231. Small and inexpensive items are sold or destroyed if not claimed within 30 days; valuable articles are kept longer.

Mail Service

The University operates two Postal Service sub-stations on campus for handling United States mail and campus mail. Station B, the larger sub-station, is located in the south end of the basement of Rand Hall. Station 17 is in the north wing of the Hospital, Room T-1218.

Boxes are provided without charge to faculty members upon application. The Vanderbilt telephone directory lists box numbers of faculty. In the absence of a box number, campus mail should indicate the position or department of the addressee as well as the room number and building. This information is given in the *Vanderbilt Directory*. In all cases a return address should appear on the envelope.

There are three zip codes assigned exclusively to Vanderbilt: 37232 for Station 17, 37235 for Station B, and 37240 for mail delivered by the U.S. Postal Service to most other Vanderbilt addresses. Zip code 37203 is correct for the Joint University Libraries. Zip code 37212 is correct for addresses served by Acklen Station: these include the Department of Athletics, the University Club, and residence halls south of Garland Avenue.

Hours of the post office in Rand are 8:15 a.m. to 4:15 p.m., Monday through Friday; and 8:15 a.m. to 12:15 p.m. on Saturday. Hours for Station 17 in the Medical Center are 8:15 to 4:15, Monday through Friday; and 9:00 to 11:45 on Saturday. By postal regulations no registers or money orders can be accepted on Saturdays or after 1:30 p.m. (2:30 at Station 17) on weekdays. Pickups for U.S. mail are at 7:30 a.m. (8:30 at Station 17), 11:30 a.m., 1:30 p.m., and 3:30 p.m. Incoming mail is delivered three times a day, at 7:30 a.m., 10:30 a.m., and 1:30 p.m.

Campus mail is handled by special campus mailmen who get to all buildings for pickups once in the morning and once in the afternoon. No campus mail is delivered on Saturday. Campus mailmen cannot pick up or deliver U.S. mail. Because campus mailmen deliver on foot, they are not allowed to accept packages or large envelopes containing books or other heavy materials.

Maps of the Campus

The Publications Office issues a campus map, annotated and updated annually.

Meeting Rooms

Reservation of University facilities (other than the Medical Center) for non-curricular activities—meetings, conferences, seminars, symposia, workshops—should be made through the Office for Schedules and Reservations, 115 Sarratt Student Center. Registration of an anticipated event should be made at least one week prior to the scheduled date. The office can assist planners in scheduling the needed space, providing needed equipment, and advising on rental rates, capacities, and procedures. Summer activities are handled through the Conference Coordinator; however, initial inquiries may be made through this office.

Reservations in facilities of the Medical Center are handled through the Office of Student Services (CCC-3317).

Nashville University Center (NUC)

The Nashville University Center is a cooperative arrangement of five institutions: Vanderbilt, Peabody College, Scarritt College, Fisk University, and Meharry Medical College. Representatives of each institution serve on the Council, which presides over about 25 committees working to maximize resources of the member institutions and to sponsor joint activities. Cross-registration of students among the five colleges and institutions has been facilitated by the organization.

Notaries

A number of notaries are available on campus. As of July 1975 they were as follows:

Kirkland Hall:	Financial Aid Office (Mary Virginia Speiden and Mary Thompson)
Law School:	Registrar (Kathy Bell).
Nursing School:	Registrar (Charlotte Beals); Administrative Assistant (Lucile Adair).
Medicine:	Secretary to the Dean, CCC-3300 (Christine Smith); Secretary to the Associate Dean, CCC-3322 (Mary Etta Skeen).
English Dep't:	Administrative Assistant (Thelma Richardson).
University Press:	Office Manager (Jane Tinsley).

Observatories

The University has two astronomical observatories: Stevenson Center Observatory on top of the southernmost building of Stevenson Center for the Natural Sciences, and the main facility, Dyer Observatory, about nine miles south of the campus via Granny White Pike and Oman Memorial Drive.

Both are open to the Vanderbilt community on various nights throughout the year: Dyer usually once a month from March until November, Stevenson four or five times a semester. Information about specific programs can be obtained by calling Dyer Observatory. Such programs are also announced in the *Calendar*.

Parking

A limited number of parking spaces are available on campus for faculty, administrative officers, staff, and students. Information concerning parking and parking permits may be obtained at the Security and Safety Department, 2423 Kirkland Place. A registration fee is payable at the time of registration. A copy of the University Traffic Committee's regulations is issued with each permit and explains fines and collection of fines by payroll deduction.

Personnel Services

Personnel Services, 1105 Baker Building, provides information and assistance with employee benefits, training, salary and wage administration, immigration regulations, and individual records of employees. New faculty have an orientation interview for making benefit arrangements; an appointment should be made in advance.

Vanderbilt Employment Center, 1103 Baker Building, recruits for staff other than faculty, interns, and residents. Applicants are interviewed, tested in many cases, and references are checked. Successful applicants are then referred in answer to Personnel Request Forms from departments listing vacancies.

Changes in name, home address, or dependents should be reported to Personnel Services.

Photography

Faculty members may arrange with the Office of Public Information for portraits to be made for publicity purposes. The only cost to the individual is for any finished prints that he orders for himself.

The office can also arrange general photographic assignments.

Plant Operations

Maintenance and servicing of grounds, buildings, and equipment are responsibilities of Plant Operations. Requests for service are made by work orders. Except for the Medical Center, these orders should be directed to Plan Operations Office, E. E. Bryan Building. For the Medical Center, orders should be directed to Medical Center Plant Operations, 306 Medical Arts Building.

For emergency needs, 24-hour service is available.

For a listing of subdivisions and telephone numbers, see Plant Operations in the current Directory.

All requests for estimates and authorization for work other than maintenance should be directed to Office of the University Engineer, E. E. Bryan Building.

Plaques and Portraits

A master catalogue of plaques and University-owned portraits is maintained by the Secretary of the University. Plaques require prior approval by a Board of Trust committee.

Public Information Office

The Office of Public Information, 408 Kirkland Hall and CCC-3322 Medical Center, is responsible for disseminating information about the University to the news media, and for handling many of the public relations activities of Vanderbilt. Faculty and administrative officers are encouraged to furnish the Office of Public Information ideas and news that may improve public understanding of the University and further its educational aims.

To avoid duplication, conflicts in news scheduling, and possible misinterpretation, faculty normally should not initiate contact with news media on matters involving Vanderbilt. Announcements of new programs, policies, grants, construction, faculty appointments, etc., are officially released through the Office of Public Information. A faculty member, however, should feel free to answer, on his or her own responsibility, reporters' questions dealing with matters within the faculty member's professional competence. It is the general policy of the University's information officers, on receiving inquiries from news media, to answer such questions as they legitimately can, and if more information is needed, to direct the reporter to the faculty member or administrative officer who is the best source.

Release of information about Hospital patients is governed by especially strict rules, justified by patients' rights to privacy and by medical ethics. Clearance by the Director of the Hospital is necessary in such matters.

Publications of Special Interest to Faculty

In addition to the *Vanderbilt Calendar* and the *Vanderbilt Directory* (see separate listings under Calendar and Directory), a number of publications of the University are useful to faculty members.

The *Vanderbilt Gazette*, issued by the Office of the Chancellor, is distributed to all faculty members. The *Gazette* contains, among other items, official statements of policy and, in the first issue each fall, new faculty appointments.

The Office of Sponsored Research publishes the monthly *Sponsored Research Notes*, which contains information about granting agency opportunities, deadlines for applications, etc. The publication is mailed upon request.

The Computer Center publishes the monthly *bits and bytes*, which contains information important to Computer Center users.

Also available in the Publications Office is the *Constitution of the Faculty Assembly and Faculty Senate* and the *Code of By-Laws of The Vanderbilt University*. The latter, which is the principal document of University governance, outlines the organization of the Board of Trust, the duties of the Chancellor, and powers delegated to the faculty.

Although not every school has a published handbook of academic policies for instructors and students, a number are issued annually under the title *Regulations*, followed by the school name. Each school also has the authority to publish a manual of *Rules and Procedures*, which may supplement information in the *Faculty Manual*. The School of Medicine also publishes its own faculty handbook.

Faculty may need to be familiar with *Policies and Regulations for Undergraduate Students in Non-Curricular Matters*, which acquaints students with their rights and responsibilities as part of the University community. These policies and regulations apply to all students enrolled at Vanderbilt, whether full- or part-time, transient, or cross-registered. Copies are available in the Office for Student Life.

Although designed primarily for staff, *The Staff Handbook* contains material of interest to faculty members. Copies are obtained from Personnel Services. Personnel Services also issues a monthly newsletter, *News and Views*.

Publications Office

Among the publications issued by the Publications Office are the *Vanderbilt Directory*, the weekly *Calendar*, the annual University catalogues and bulletins, the Commencement program, announcements of graduate programs, and fliers and brochures required by individual departments. A department anticipating a publication should request the advice and assistance of the Publications Office early in the planning stages. (Publications of Alumni and Development, of the Athletic Department, and of the University Press are issued by those departments. Student publication have their own offices.)

Publications, Student

The two principal student publications are the newspaper, *The Hustler*, published twice weekly, and the yearbook, *The Commodore*. Offices are in Sarratt Student Center.

Students pay for these publications through their activities fee. Although the newspaper is distributed in open stacks on campus, faculty members are expected to have paid subscriptions. Faculty may also place orders in advance for the *Commodore*.

The official publisher and supervisor of all student publications (and radio station WRVU) is a separate corporation, Vanderbilt Student Communications, Inc. Publications other than *The Hustler* and *The Commodore* are authorized from time to time by a faculty-student publications board that constitutes the directorate of the corporation.

Purchasing and Storerooms

Vanderbilt provides centralized procurement of supplies and equipment for the entire University. A purchase requisition (form 1-1193) is initiated by the person responsible for budgets involved. In Medical Center units, the green original goes to the Financial Management Office for the Medical Center, and then to the Purchasing Department. In all other University units, the original should be sent directly to the Purchasing Department, except requisitions drawn on restricted budgets, which must be cleared by the Accounting Office. The yellow copy is retained by the person responsible for the budget involved.

The Purchasing Department negotiates with suppliers and places the purchase order on the basis of this requisition, taking into consideration quantity, quality, delivery, price, and specific needs of the user. To provide lead time for ordering and to avoid delay in obtaining goods and services, Purchasing should receive early notice of needs.

Payment for goods or services is made only by serially numbered purchase orders which have been authorized by Purchasing. Payment for charges incurred in any other manner is the personal responsibility of the individual placing the order. A rush order for an occasional emergency may be handled by a phone call to Purchasing, but a confirming requisition must follow promptly.

Stocks of supplies and equipment which are regularly used are kept in Central Stores off campus at 2507 Charlotte Avenue. The Medical Center Storeroom, which serves as a receiving station for the entire Medical Center, is at TT-0114.

All supplies and equipment stocked in the various storerooms are issued on receipt of a completed form 1-1180. The official manual of purchasing procedures and the storeroom catalogue are available on request from the Purchasing Department.

Radio Station WRVU

WRVU is an educational FM station staffed by students and owned by Vanderbilt Student Communications, Inc. It broadcasts on a frequency of 91.1 megacycles. Studios are in 128 Sarratt Student Center.

Announcements of interest to the University community will be broadcast on request. The station will cooperate with faculty in study programs that can be enhanced by broadcasting (such as scheduling recorded plays, poetry readings, and classical music).

Safety Officer

The Safety Officer for the University is responsible for compliance with the Occupational Safety and Health Act (OSHA), the purpose of which is to protect the health and safety of employees. The safety officer must see that standards are met in work situations involving chemicals, bacteria, radioactivity, lasers, machinery, fire protection, etc.

Security and Safety Department

University Security police provide seven-day, 24-hour service for the University, including the Medical Center. This department controls parking and traffic and investigates losses and breaches of security. Escort service is provided on request during hours of high risk on campus. The Security police are commissioned by the Metro Police Department.

Shops

The Apparatus Shop and Electronics Shop are in the Medical Center. The Glass Shop and Science Division Shop are in the Stevenson Center.

Plant Operations maintains shops for carpentry, electric equipment, heating-airconditioning-refrigeration, keys, machining, paint, and plumbing.

Speakers Bureau

The Vanderbilt University Speakers Bureau, administered through the Office of Public Information, is a community service, made possible by faculty members who are willing to address groups without charge. Faculty members who are interested in speaking to lay groups in the area or to alumni once or twice a semester are encouraged to inform the Office of Public Information. A handbook listing faculty participants and topics is sent to program chairmen and presidents of several hundred local community organizations and alumni clubs.

Sponsored Research, Division of

The Division of Sponsored Research, 416 Kirkland Hall, a division of the Office of the Provost, is responsible for coordinating all aspects of sponsored activity in the non-medical part of the University, as follows:

1. Informing faculty of funding opportunities through the publication, *Sponsored Research Notes.*
2. Serving as the point of initial contact by faculty members interested in obtaining information, aid, and approval for external support for projects.
3. Obtaining approvals needed to process a proposal to a federal or non-federal funding agency.
4. Keeping complete records of all transactions.
5. Initiating and approving budget documents necessary to the implementation of a funded project.
6. Publishing a quarterly report of externally funded projects at Vanderbilt.
7. Keeping an up-to-date inventory of Government rules and regulations.
8. Providing liaison with Government grants offices, and with Vanderbilt's Alumni and Development Office and Office of Grants Accounting.
9. Administering control of Government-owned property.

Any questions on non-medical sponsored activity should be addressed to this office. The Office of the Provost is the contracting office for grants and contracts with the Government and serves as the final approval agency for all non-medical applications for support.

For sponsored medical programs, there is a separate office, with its own director, in the Medical Center (CCC-3322).

Stationery

Official Vanderbilt University stationery is requisitioned by departments and schools from the Storeroom or from the Duplicating Service. The Secretary of the University is responsible for design and for specifying standards.

Surveys

Faculty members who undertake surveys in which persons off campus are surveyed should obtain written authorization from the department chairman and the dean. When a survey consists of personal interviews, the faculty members involved and any interviewers should carry official written credentials to show that the survey is authorized by Vanderbilt. Persons making telephone surveys should identify themselves fully, so that the person being interviewed may check the validity of the survey with University officers.

Telephone and Telegraph

Vanderbilt has a Centrex telephone system. Incoming calls are dialed directly to the extension without going through the switchboard by dialing 322 and then the extension number. Calls made from one campus extension to another are made by dialing the extension number only. Before dialing an off-campus number in the city, the caller must dial "9" and then the number (the dial tone does not change).

Long distance calls are placed by dialing "O" for the University switchboard operator. The operator must have the caller's name and a budget number for calls charged to the University.

If a long distance call for official business is made from anywhere else in Metropolitan Nashville, the call may be billed to the Centrex extension on campus. Long distance calls from other cities should not be charged to Vanderbilt; faculty can be reimbursed later if the purpose was official business.

Personal long distance calls at the individual's expense may be made occasionally from Vanderbilt extensions; the operator must have the identification of the caller and home phone number to which the call is to be charged. Personal collect calls may be placed through the Vanderbilt operator, but should be kept to a minimum because of the heavy volume of business calls. Telegrams may be phoned direct to Western Union and charged to the Centrex office number. If records are required, the faculty member should keep a log.

Any service problems should be reported to the Telephone Exchange Chief Operator, extension 2608. Arrangements for new service or changes in existing service are requested through department chairmen and the dean on the standard purchase requisition form (1-1191).

Requests for telephone credit cards should be in memorandum form to the Director of Purchasing, carrying the approval of the appropriate department chairman or dean. The requests for telephone credit cards should show the budget number which will accept these charges.

Television News Archive

The Vanderbilt Television News Archive, which is in the General Library building, maintains a videotape collection of the evening newscasts of the three major television networks—ABC, CBS, NBC. Begun in August 1968, this collection is added to daily as these news programs are broadcast from Nashville stations.

The collection is available for study, either within the Archive or through rental of the tapes for use outside the Archive. Vanderbilt faculty and students have free access to the collection. There are charges for special service.

The Archive publishes a monthly index to network news, entitled *Television News Index and Abstracts*.

Textbooks and Supplies

The University Bookstore is responsible for ordering textbooks and supplies; faculty members should not order directly from the publisher.

The Bookstore notifies departments of deadlines for ordering texts; however, when faculty members know their needs in advance of such deadlines, the requests should be submitted to the Textbook Manager. Appropriate "Request-to-Stock" forms are available in the offices of departments and in the main Bookstore in Rand Hall. All Medical School texts and some Nursing texts are ordered and stocked by the Medical branch in A-1218.

Desk copies should not be borrowed from the Bookstore, since textbooks are ordered to meet only anticipated enrollment. Publishers do not issue desk copies through college stores. The Bookstore in Rand will provide a "Desk Copy Request Form" to be mailed directly to the publisher by the faculty member.

To avoid ordering texts which are unavailable, faculty members may want to consult the current catalogue of books in print in the Bookstore (these catalogues are also available in the JUL reference room). Faculty are notified when ordered texts are out of print, out of stock, or will be delayed for some reason. When shipments are not delivered in time for registration, the expected date of delivery is posted on the shelf where the course label occurs. (In the Medical branch books are shelved according to subject.)

Theatre

Vanderbilt University Theatre is a student organization for the production of plays, directed by a faculty member in the Department of Drama and Speech. Usually there are four major productions a year, three under the supervision of the professional staff and one directed by a student or a person from off campus. Performances by professional groups are sometimes sponsored.

Participation in Theatre productions is open to faculty, although students are given priority in casts of the plays.

University Club

The University Club, 2400 Garland Avenue, is a separate corporation serving Vanderbilt, Peabody College, Scarritt College, Fisk University, and Meharry Medical College. Those eligible for membership from these institutions are trustees, faculty, administrative officers, and administrative assistants. Dues are based on total annual income: under $10,000, $36 a year; from $10,000 to $15,000, $54 a year; and above $15,000, $72 a year. These rates are under review.

The Club has a lounge, a library, a large dining room, a bar, and numerous rooms for private luncheons, parties, and meetings. Monday through Friday from 11:30 to 1:30 a buffet and a la carte orders are served in the dining room. Dinner is regularly served on Wednesday (buffet and a la carte) and Friday (seafood buffet). Dinner on other evenings is served on special occasions. The bar is regularly open from 11:30 to 7:30 Monday through Thursday, and until 8 on Friday. A monthly calendar of special events is distributed to all members.

Rooms for private luncheons and parties and meetings must be reserved in advance. The schedule of charges for these rooms and services is available upon request.

University Name and Seal

Faculty members are asked to seek approval from the Secretary of the University for use of the University's name in any legitimate cause, and to report instances of improper use to him. Improper use would be for commercial, personal, organizational, or political gain. The same provisions apply to the use of the official University seal and letterhead.

University Press

"Vanderbilt University Press" is a publishing imprint; books bearing the imp imprint are manufactured by contract with various printers. The Press has its own staff for acquisitions, production, promotion, and order fulfillment. Vanderbilt University Press books are distributed through the normal channels of book distribution throughout the world. Catalogues of the publications are available from the Press office.

The principal purpose of the University Press is to publish scholarly books, works of regional significance, and occasional semi-popular works of genuine quality.

Status of the University Press is under review.

Women's Organizations

Vanderbilt Woman's Club is an organization of women whose husbands are connected with the teaching or administrative staffs or who themselves are thus connected. The Club offers regular programs, social events, and special interest groups during the academic year.

Vanderbilt Newcomer's Club is part of the Vanderbilt Woman's Club. Participation is open to those who have been in the Vanderbilt community for less than two years and who have paid dues for membership in the Vanderbilt Woman's Club.

The Vanderbilt Aid Society raises funds for scholarship loans, mainly through membership dues. The Society meets once a year in the spring. The organization has been in existence since 1894.

The Vanderbilt Medical Center Auxiliary offers opportunities for volunteer services for hospitalized patients and out-patients and their families. The Auxiliary also has annual fund-raising events to promote projects in the Hospital.